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ABSTRACT

"College Music Symposium" is published annually in one volume. This issue is devoted to four areas of music. "Musicology" contains five articles: "Communicating Musicology: A Personal View" (L. Lockwood); "'Music History' as a Set of Problems: 'Musicology' for Undergraduate Music Majors" (J. Hepokoski); "Musicologists and Generalists: A Medieval Perspective" (K. Levy); "Musicology and the Music Major" (M. Murata); and "Machaut for the Masses, or How Musicology Ruins Your Teaching" (K. Rohrer). "Music of the Masters--and Others?" contains five articles: "The Authenticity of the Symphony in A Minor (K16a) Attributed to Mozart: A Stylistic Study" (S. Fruehwald); "Program and Sonority: An Essay in Analysis of the 'Queen Mab' Scherzo, from Berlioz's 'Romeo and Juliet'" (B. Shamgar); "Stephen Foster and His Publishers, Revisited" (S. Saunders); "Tradition and Creation: Hugo Wolf's 'Fussreise'" (C. Hatch); and "Chromatic Completion: Its Significance in Tonal And Atonal Contexts" (P. Paccione). "Campus Focus" contains two articles: "The Curriculum Design Process in Music" (E. Jorgensen); and "The Bachelor of Music Degree and the Marketplace" (G. Rogers). Five book reviews are included. (PPB)

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# College Music SYMPOSIUM

# College Music
# SYMPOSIUM

*JOURNAL OF THE COLLEGE MUSIC SOCIETY*

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1988

# College Music SYMPOSIUM

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# *Editor's Message*

As my term as Editor of *College Music Symposium* ends with the present issue, I should like to thank all those who have had a part in making these last three years so successful and so pleasant: the authors, without whose submissions *Symposium* could not exist; Robby Gunstream, Morris Phibbs, and Catherine Butler at CMS National Office for doing what needed to be done promptly and with grace; Steve Kelly, chairman of the CMS Publications Committee, for coordinating the Society's publishing enterprises with aplomb; the officers and members of the CMS Board, who lent such wholehearted support; Ann Scott, Book Review Editor, whose ability to select just the right reviewer has been exceeded only by her skill in persuading that person to add yet one more task to a busy schedule; the members of the Editorial Board of *Symposium*, for sharing their knowledge, acuity, and judgment in selecting articles for publication. Of these last I should like to pay special homage to Abraham Schwadron, whose passing last year saddened us all. The sharpness of Abe's intellect, the breadth of his interests, and the depth of his humanity were always in abundant evidence. These qualities of Abe's informed the pages of *Symposium*, as they had enriched the life of the Society for many years.

And I am happy to pass the Editorial keys, the red pencils, the carrots and sticks to Arthur Komar, who now assumes the Editorship of *Symposium*. I applaud the CMS Board of Directors for their felicitous choice, and I wish Arthur the same pleasure in his term of office that I have taken in mine.

JAN HERLINGER

*Musicology*

# Communicating Musicology: A Personal View*

LEWIS LOCKWOOD

MY AIM IN THESE REMARKS is to take a brief but deliberately wide-ranging look at the present state of musicology in the United States, with special stress on the problem of communication. To paraphrase a well-known Kerman title, I want to talk about how we got into the current professional situation and how to get out; about where we are as a discipline, and where we might be going. To forecast the end of this short essay in disciplinary criticism, I will want to claim that there are special conditions both inside and outside our field that tend to inhibit and even stifle communication, to our detriment and to the detriment of our relationship to society at large. Apathy in dealing with these conditions could turn our story from Churchillian optimism to Spenglerian decline; to a loss of growth, to isolation, and to decay. But I will also claim that there are short-term and long-term policies that could turn the tide in our favor. Wisely developed, they might assure that our hopes and visions, as scholars and musicologists, may come to realization in the changing context of the late twentieth century and across the border into the twenty-first.

When I talk about "the field," I mean to define it as broadly and comprehensively as possible. It is noticeable that the recent Annual Meeting of the American Musicological Society, held jointly with The College Music Society and with the Center for Black Music Research, included a session on "Musicology and its Canons," in which for the first time in my experience a group of musicologists used the term "canon" in the non-musicians' sense. From this and much other evidence, it seems that a broad definition will fit the current mood. And so I gladly include within my view of the field all those ethnomusicologists and theorists who were not at New Orleans in 1987 but who would perhaps be with us at future national meetings if the scheme of things by which we live, organizationally, were closer to my heart's desire; a feeling that is shared, I suspect, by many of my colleagues inside and outside the formal ranks of the American Musicological Society. How then did the current condition of professional separation come about?

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*This essay is a partially revised version of the Presidential Address given at the 1987 Annual Meeting of the American Musicological Society in New Orleans, held jointly with the annual meetings of The College Music Society and the Society for Black Music Research. Professor Lockwood was President of the American Musicological Society, 1987–88.

Like a good historian I begin with a brief chronology—and, like a good Beethovenian, my story falls readily into three periods. The first covers American musicology from the founding of the Society in 1934 up to 1945 and the end of World War II; the second runs from 1945 to 1970; and the third, perhaps now reaching its final phase, from 1970 to the present.

The beginnings are by now well known and amply documented. In 1934 our forefathers brought forth a new organization to embody the view that musicology should be formally represented in the United States by the American Musicological Society, devoted to the pursuit of research "in the various fields of music as a branch of learning and scholarship." As Richard Crawford told us pointedly in his excellent 50th-anniversary essay of 1984,[1] the small band of founders of the AMS mingled music historians with composers and ethnomusicologists; Oliver Strunk and Gustave Reese then sat down with their fellow theorists and ethnomusicologists in a group that included Charles Seeger, Joseph Schillinger, and Joseph Yasser. The chairman of the organizing committee was George Dickinson, a generalist and college teacher in the liberal arts tradition, whose role in building the Society in its early years is a matter of record.[2]

Because Crawford has dealt so well with the early phases of this first, or postglacial, epoch, I can just briefly characterize it as the age of the founders. The central task that they faced was clear—to establish the discipline for the first time in the United States as a serious branch of scholarship, modelled openly and proudly on European, especially Germanic, precedents. The founders strove for recognition but at minimum cost in dignity. They were content to be quietly protective of their special domain and let their achievements speak for themselves. As Crawford put it, "The founders . . . were pioneers forced to make a place for themselves and their work in an alien environment. They took themselves seriously both because they were serious people by nature and because almost no one else did." And Crawford sees correctly that this early aura of pride, intellectual rigor, and a certain aloofness, created a spirit that "lives on in the Society today."

In what I call my second period, much of that spirit persisted as the Society and the discipline developed. Many of us who are now in the middle and later phases of our teaching careers did our graduate work in those years. We learned our trade in the seminars of some of the founders and their brethren, including some newly arrived from Europe—such men as (in alphabetical order) Bukofzer, Gombosi, Grout, Lang, Lowinsky, Mendel, Pirrotta, Reese, Schrade, and Strunk. The list could be extended but the idea is clear. These were years of postwar optimism; of restabilization; of the exploration of newly reopened European libraries; of the forging of new forms of international cooperation; in short, of consolidation of the gains made in the first period. When the *Journal of the American Musicological Society* appeared in 1949 as the Society's first regular periodical, it symbolized the Society's coming of age. It also coincided with other initiatives in which Americans played leading roles, among them the massive publications of early music that were then being launched by the tireless Armen Carapetyan. But rather than catalogue achievements, all I want to do here is to characterize this second period as one of growth and fullness of achievements, in which the discipline became more deeply anchored as a branch of the humanities and firmly established itself in its natural home, the American university.

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[1] Richard Crawford, *The American Musicological Society, 1934–1984: An Anniversary Essay* (Philadelphia: American Musicological Society, 1984).

[2] Glen Haydon, "George Sherman Dickinson," *Journal of the American Musicological Society* (hereafter: *JAMS*) 18 (1965):219–21.

With this success came consequences, some of which have greatly magnified since then. One, of course, is specialization; the irreversible trend towards ramification of knowledge into more refined detail, reflecting the desire of each generation to sharpen the lances of knowledge to ever-finer points and often to use them to pierce the armor of their predecessors and rivals. Furthermore, the larger trend of specialization at this time was historical almost by necessity, as musicologists accepted what was then the dominant role of historical thought in the humanities. Certainly this was manifest in the tendency of musicologists to seek role models in art history and in cultural history, more than in literature, which was brewing its own ferment in the so-called New Criticism with its denial of historicizing or intentional concerns. Our orientation towards history as intellectual framework, which is still the reigning mode in American musicology, pushed ever deeper into remote fields and byways; into genres and contexts; into notational and analytical studies; above all, as a necessary background to the making of serious critical editions, into source studies on a grand scale. For the first time, not only individual sources were coming under study but families of sources were being tackled for the first time, to gain a deeper sense of context. Witness, as an example, Herbert Kellman's work on the great family of Habsburg-Burgundian manuscripts, about which Gustave Reese said to me one day, while coming down in an elevator, "what a wonderful idea!" It struck me then that Reese, who had been the father of so many dissertations on single manuscripts, knew a good thing when he saw it, even if he also knew that Kellman's work had sprung from a seminar on Josquin given by his long-time friend Arthur Mendel, who looked at every problem as if it were brand-new and wide open to any tough-minded approach.

But this second period, for all its massive achievements, was also a time of early factionalism and controversy. Witness Joseph Kerman's tartly worded "Profile for American Musicology," the benign ancestor of his more recent sweeping attack on the main line of the development I am describing; and witness Edward Lowinsky's passionate reply to Kerman in the same year. I remember these polemics vividly not only because I was then editor of the *Journal* but because they epitomized what then seemed clear-cut and opposed positions on what the future of the profession might look like. Kerman, demanding the restructuring of priorities so that criticism should stand at the top of the ladder; Lowinsky, defending the traditional values and necessities of historical research and flatly rejecting the view that historians ought to be seen as if they were members of the " 'lower orders' " "whose business it is to serve music on a silver platter ready to be criticized to the 'lord of the manor,' the critic."[3] Lowinsky held fast to the view that the study of individual works and of the contexts in which they were shaped should bear about equal weight. At all events, by the late 1960s, when the Einstein and Kinkeldey awards were established (not accidentally, on Lowinsky's initiative) it was clear that a new and rising generation of scholars, now including the children and grandchildren of the founders, were following new leads into uncharted or dimly charted historical territories. The strength of the field seemed fairly clear, and the promise of the future seemed manifest.

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[3] Joseph Kerman, "A Profile for American Musicology," *JAMS* 18 (1965):61–69; Edward Lowinsky, "Character and Purposes of American Musicology: A Reply to Joseph Kerman," *JAMS* 18 (1965): 222–34.

With which winged words, tiptoeing over mountain peaks, I come to my third and current period, from about 1970 to now and somewhat beyond. In this sector the stage lights darken and we recognize that a new set of challenges to musicological orthodoxy has arisen, inside and outside the ranks of the American Musicological Society. If I am correct, then how American musicology responds to these challenges will largely determine the direction in which the discipline will move in the years to come.

In the third period I definitively abandon the Beethovenian metaphor. That is, I will not dwell on crowning achievements, wreathed in wisdom, but rather on conflicts, challenges, and problems. The legacy from the first two periods is still strong and active. From the founders we have inherited our pride in quality of accomplishments and a strong sense of probity. We evaluate musicological works, whether hypotheses or discoveries, not only by the excitement that they generate but by the degree of intellectual honesty that they carry with them. The footnotes that give credit to others in our books and articles are not hollow forms of pedantry but essential reminders of the dependency of all scholarship on work by others. From my second period we inherit basic lines of endeavor, as we continue to work in ways that yield a rich harvest of knowledge and hatch new projects that promise to outstrip the old by unprecedented margins. Our great-grandfathers—men like Nottebohm, Spitta, Ludwig, Wolf, Einstein, and Jeppesen—could count on nothing more than their notebooks, their total dedication, their intelligence, and their musicality. We take for granted jet travel, microfilm collections, databases, and minicomputers. As we adjust our sights, it's clear that a new mix of technology with old-fashioned experience and imagination will gradually alter the shape of the field, and in fact is already doing so. Whether the old values can survive the changes is now a major question. And if they don't, we had better ask, what will we have to put in their place?

From another angle all is not well, or at least is fraught with disagreement about basic goals. We are living through a period of running debate about the nature of the discipline. Some of the debate comes from our comrades in other sectors of the broad field, who have grouped themselves firmly and decisively under other organizational banners—notably those of ethnomusicology and of theory. Some of it comes from within our own musicological ranks, as well we know from various recent publications. To put it in a nutshell, I count three challenges as the most basic ones:

> 1) the challenge presented by leading figures inside American musicology as to the right direction for the discipline;
>
> 2) the challenge presented by the formal division of the larger field into separately organized societies and thus into distant intellectual compartments that tear the fabric of the field into fragments, thus narrowing the accessibility

of knowledge and violating the sense of professional wholeness to which many of us aspire;

3) the challenge facing all of us, as intellectuals and as musicians—owing to the virtual nonexistence of serious musical thought, or even recognition of such a thing, in the media of communication that tend to shape the surface of the American cultural context.

Let me now try to take up each of these in turn.

The dominant status of traditional historical thought in musicology has been challenged vigorously of late, especially by Leo Treitler and Joseph Kerman, along quite different lines. As everybody knows, Kerman in his recent and provocative book[4] denounced the so-called "positivism" of much factual and historical research in favor of what he calls a "critical approach" to music and its interpretation. A careful reading of Kerman's chapter on criticism shows that he is less dogmatic now than twenty years ago about all this, and he is prepared to admit that there is a "delicate relation . . . between it [criticism] and ancillary disciplines." He even concedes that "criticism" is "all but impossible to define in abstract terms." But the basic thrust of his book is clear enough. In my view one of its central weaknesses is its fundamental reliance on ephemeral and subjective verbal formulations to describe musical content, inevitably skimming the surface of deeper musical process. It is as if one might seek simply to transfer the mental framework of literary criticism wholesale over into musicology, without questioning whether all that we mean by musical insight fits readily into the literary viewpoint or was ever there in the first place. Another problem, at least equally serious, lies in the danger of teaching or advocating such approaches to beginners and students who may not know a major triad from an all-interval set, who lack all substantial and traditional musical experience, and who have little or no idea of the theoretical and systematic bases of musical thought, now or across the centuries. And yet I concede that Kerman is dealing with a major and perennial problem: how to get serious thinking about music across to lay readers.

At all events, Kerman's book was received with understandable consternation by three groups—the few who were praised; the many who were disdained; and the largest number, by far the most indignant, who were not mentioned at all. If the book had not been so one-sidedly *ad hominem* it would probably have been read with much greater sympathy by many of us; even now, I must admit, with all my distaste for its tone and argument, I vastly admire the skill and facility with which Kerman injects the hypodermic into our positivistic veins. From Leo Treitler, on the other hand, we have gained a richer mix of criticism, centered on the need to find a way of reconciling the historical understanding of music with the various approaches to analysis that have flowered in the twentieth century. From several important writings we can derive a central argument, that by enlarging the categories of understanding by which history and analysis proceed, and constantly reexamining the objects of music study to include as many contexts as we can relevantly apply, we can find ways to make these seemingly disparate approaches enrich and inform one another. For analysis, this implies a need to keep in view the qualitative context of the individual work; for history, it implies a need to depart freely and imaginatively from traditional causal and evolutionary models of historical discourse towards what Treitler accepts as a "hermeneutic" sense, "in which it [music] is viewed as a meaningful item within a wider context of practices, conventions, assumptions, transmissions, receptions—in short, a musical culture, which serves to endow its constituent aspects with meaning while attaining its own meaning from the combination of its constituents."[5]

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[4] Joseph Kerman, *Contemplating Music: Challenges to Musicology* (Cambridge, Mass.: Harvard University Press, 1985).

Along with these well-recognized challenges, there are clearly other modes of approach that are challenging traditional orthodoxy, some of them evident in our 1987 annual meeting. One is the rise of American music and music history to its proper place in American musicology, a rise obviously made possible and necessary by our generally heightened sensitivity to context. Another is the study of women in music, historically and in the present. More generally, both of these connect readily to the current stress on the study of music in ever-greater depth in delimited social and cultural contexts, both historically and in the present. Here the nexus with ethnomusicology becomes perfectly obvious, just as we have really known all along. We also see some use of new approaches that seem to be emerging from current revisionist trends in literary study, which appears to be increasing its own range of theoretical concepts with breath-taking speed—I mean such aspects as the study of narrative and plot; of reception history; of deconstruction; of hermeneutics and the idea of the multiple dimensions in which a work of art is seen, may be seen, and should be seen. Once again, the possibilities may be rich; yet I enter my earlier caution about the all-too-easy adoption of currently fashionable literary criticism as potential model unless governed by powerful and demonstrable musical experience. It will take long and hard work on musical and verbal analysis to show the ways in which new literary models may be put to use. But the trend is clear, and so long as our work is solid as well as original and creative, new insights are bound to emerge. *Se son rose fioriranno.*

Such are some of the challenges from within. What of those from without? The second of my two categories stems directly from the sharp and seemingly inevitable division of the immense totality into three broad sectors and three national scholarly societies—the American Musicological Society; the Society for Ethnomusicology; and the Society for Music Theory. Tangential to all three, it seems to me, is The College Music Society, with its strong emphasis on pedagogy, curriculum, and its laudable effort to bridge the various intellectual modes of music study with those practical dimensions that we can never afford to undervalue. The division into separate societies seems to be based on professional identity and kinship; on a paradoxical mixture of intellectual and social clustering; on practical convenience; and, once done, on pervasive inertia. It is a generalized family crisis; a divorce of convenience. Of course, once such a state of affairs is set in place it is much easier to leave it alone than to change it. Perhaps those few who are specialists on the Italian fifteenth century will recognize the parallel with the politics of that period, in which for a time three versions of the Papacy contended with one another for supremacy. The parallel is of course hopelessly limited, since there is no real su-

[5] Leo Treitler, "Structural and Critical Analysis," in *Musicology in the 1980s: Methods, Goals, Opportunities*, ed. D. Kern Holoman and Claude Palisca (New York: Da Capo, 1982), 67-77.

premacy to be achieved. But for me a ray of optimism comes from the apparent tendency of serious scholars within all three enclosures to nurture doubts about the wisdom of the division, as they notice that all of us share a substantial number of common interests. Could it be that a latent sense of community is stirring uneasily along the borders of our separate territories?

If so, it was surely intensified in 1985 in Vancouver, when all four societies met concurrently. The vast emotional flux of the single plenary session[6] revealed to us all that by having our societies meet at the same time in the same city but in different sets of headquarters, we were preserving what seemed to be our necessary autonomy but compounding our frustrations; we were like three islands of Laputa, floating out of touch though nearby. I think it is fair to say that there is a general feeling that the Vancouver model should not be repeated. Instead, the signs of common interest between the AMS and the SMT, at least, will be materially advanced over the next three years, when we will meet together—in 1988 at Baltimore; in 1989 at Austin; and in 1990 at Oakland. The 1990 meeting is, in fact, to be a tripartite one with a joint program committee made up of representatives of AMS, SMT, and SEM and with a general chairman in the person of Bruno Nettl. No one who was present at the plenary session in Vancouver can forget the gentle patience with which Bruno handled the torrents of rhetoric that flowed through the room, and the skill with which he tried to redirect the inevitable sectarianism towards channels of common interest. I do not mean to claim that there are not strong reasons why our three kinds of musicological society currently exist. But I do mean to predict that, if present indications hold, a movement towards rapprochement and of reconstruction of the divided sphere will be one of the central tasks of the next generation of musicologists, ethnomusicologists, and theorists. The way to get to this Nirvana is through openness, improved communication, and interaction; through connections I will call "intersocietal" rather than "interdisciplinary," since clearly my sense is that, seen from a distance, we are all part of a very complex and highly ramified but fundamentally unitary discipline.

My third and last challenge concerns communication. To whom do musicologists speak, and who is listening? The answer always used to be, only to each other; and, for specialized research, it largely still is. Specialization has inevitably reached the point, even in our small field, at which we can come to national meetings and hear papers in almost nothing but our own fields of interest. But to the larger audiences of musicians (including performers and many others), to musically cultivated and educated laymen, and certainly to the general lay public, musicology as we know it is still largely invisible. Of course, times have changed since the early days of the first period, when a president of Harvard could mutter the famous analogue, "grandmotherology". Nowadays, there is reason to think that educated lay circles respond sympathetically to the idea of a discipline devoted to serious music study—as part of a process of social change and shift in expectations about music that we intuitively sense but which has barely been studied and which we badly need to understand better than we do. But, equally clearly, most people in lay circles, especially our fellow intellectuals, continue to have only the vaguest idea of what musicology might really be like. They certainly do not read our articles or follow our complex byways. Above all they don't when it comes to the famous and fearful use of technical language, which they are sure we can never do without. As to minimal standards of musical literacy, especially among students, I need hardly say that the recent diatribes of E.D. Hirsch and Allan Bloom on the state of literary and philosophical literacy look like songs of praise compared to what we could write about the musical literacy of American students, in the large, regarding Western high classical repertoires.

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[6] For a transcript of this session, see *Fact and Value in Contemporary Musical Scholarship* (Boulder, Colo.: The College Music Society, 1986).

All this is common knowledge. What is not so obvious, at least to us, is our own part in widening the communication gap and in maintaining distance from lay readers, except through certain kinds of writings that have didactic or pragmatic purposes, such as reference books, textbooks, or program notes. It is not merely that a great deal of our effort goes into the further expansion of already highly specialized sectors of knowledge, but that virtually all of it does, with only a trickle of material specifically aimed at the intelligent general reader with some music literacy. This general reader is, of course, also the ideal listener, who resembles a grown-up version of that elusive person, the ideal undergraduate student in our general courses. Now I certainly don't want to be misunderstood; I am emphatically *not* claiming that American musicology should abandon its traditional high standards and move wholesale into journalism. For many of us it is neither proper nor necessary to pay attention to these problems, and scholars born and bred will always come back to the deeper satisfactions of their own most personal and most recondite concerns. Still, the fact remains that, like any field of study, we need a public to sustain us, and if we fail to contribute the more accessible versions of our knowledge to intelligent laymen, we have no one to blame but ourselves when the job is either not done at all or is done badly by unskilled or ignorant popularizers—in the press, on the air, and even in journals and books. In my part of the country, at least, classical music radio seems to be in the hands of persons possessing either mellifluous or ponderous voices but whose ignorance of any serious musical issue, or where to find discussion of one, appears to be absolute. All too clearly, a communication system that accepts such standards is intellectually bankrupt and must eventually change. In book publication, where we have good reason to expect something better, the absence of certain classes of publications in many fields is very striking. In Renaissance studies, for example, we are still waiting for even the first English-language biography or general study of Josquin Desprez, let alone comparable books on such figures as Mouton, Willaert, Rore, Gombert, Clemens, Marenzio, or even Orlando di Lasso. Books like Fallows's *Dufay*, Watkins's *Gesualdo*, or Hammond's *Frescobaldi* have shown that it can be done, but they have not yet been followed up. In every sector of musicological work the situation is essentially the same, although the perceived needs surely differ. In fields in which serious biographies are more plentiful, there is a continuing need for studies of genres and subgenres; of single major works and groups of works; of dimensions of musical thought portrayed in historical and intellectual context. For later music, certainly of the eighteenth and nineteenth centuries, the situation is somewhat better; but look through the listings and ask yourselves how much better it really is, and what can be done to bridge the existing islands.

I could go on but I think the message is clear. And in curious ways the theme of communication ties the whole of this statement together. The primary challenge that any of us faces in our own work is the feeling of accomplishment that always attaches to the solution of special problems, to the sense of advancing the discipline while standing at one of its far borders; what Max Weber once referred to as "the personal experience" of *Wissenchaft*, ". . . this strange intoxication, ridiculed by every outsider. . . ."[7] But we may also come to believe that there is an equal challenge, not less demanding—namely to make our work, its basic inner content and certainly its values, cultural, musical, and intellectual—as accessible as possible to those sectors of the public who need them. That there is such a need is hardly to be doubted, when you look at the role of the media in American life, despite some hopeful signs of change in the concert world and in performing organizations, where musicologists are beginning to appear in needed professional roles. But there is a need that is more than practical—it is a matter of the quality of our musical life, and thus of the civil life altogether.

In a review in *The New Yorker* five years ago, Andrew Porter portrayed the United States as "a land where music-making is in large part a branch of the entertainment industry, in some part a mere academic discipline, and in but small part a keeper of the public's social, political, and moral conscience. . . ."[8] Grandiose as it may seem, my claim is that in the modern context music-making by itself is incapable of rising to this level; and that it needs the undergirding of musical intellectuality to make that rise possible. The preservation of the values that were implicit in the very founding of the discipline, and in its perpetuation, remains a powerful challenge for the future of the field. Whether those values can be protected without the aloofness of the founders themselves is the major question. By doing our part to be "keepers of the public's conscience" we may also strengthen our own, and perhaps deepen the importance of our work by giving it a stronger social and intellectual matrix. The task at first glance may seem quixotic; but with time and patience and the talent in our ranks I believe that a great deal can be achieved. What is needed is the general sense of purpose and motivation that will crystallize when we begin to turn our professional glance outward as much as inward, and speak to the appropriate levels of the public as eloquently as we do to one another.

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[7] Max Weber, "Science as a Vocation," in *From Max Weber: Essays in Sociology*, trans. and ed. H. H. Gerth and C. Wright Mills (New York: Oxford University Press, 1946), 135.

[8] Andrew Porter, review in *The New Yorker*, 9 May 1983, 116.

# Musicology and Undergraduate Teaching*

## Introductory Remarks

ANNE DHU SHAPIRO

As THE COLLEGE MUSIC SOCIETY BOARD MEMBER FOR MUSICOLOGY and a long-time member of the American Musicological Society, I was pleased to chair the joint CMS/AMS session on Musicology and Undergraduate Teaching at the 1987 Annual Meeting, a session that bore fruit in the essays printed here.

From what I have gathered as a Board member, The College Music Society is an organization devoted to examining how the various musical disciplines contribute to the educational environment of departments and schools of music. In that context, musicologists are often perceived by others in the music profession as being off in an ivory tower, with little that is practical to offer to those environments. I know that this is not necessarily the case, and I am sure that these essays will help dispel the negative image.

The object of the session was to explore the problem of how musicology as a discipline has an impact on the undergraduate curriculum. Musicology is taught at the graduate level; yet most of us teach undergraduates as well. The question is: does our research influence our teaching?

I invited submissions from four who are well-respected musicologists and who are known as good undergraduate teachers. What I asked from each participant was a short statement about an area of musicological research that has made its way into some aspect of undergraduate teaching and how it works. They gracefully arranged to cover the gamut from non-major introductory courses to those aimed at performers, theorists, and composers, as well as music history majors.

James Hepokoski received his Ph.D. at Harvard University, and has published widely on both Verdi and Debussy, including books for Cambridge University Press on Verdi's *Falstaff* and *Otello*. From 1978 to 1988 he was Professor of Musicology at Oberlin College Conservatory, where he taught courses in nineteenth- and twentieth-century music, both in the form of semester-long surveys for sophomores and juniors and more advanced courses on individual composers or genres (he has now moved to the University of Minnesota, Twin Cities). His essay addresses especially those courses aimed at students who are pursuing some sort of career in music—conservatory students and serious music majors.

Kenneth Levy, Professor of Music at Princeton University, is deservedly renowned both as a medievalist and as a teacher of one of the famous undergraduate courses for non-majors. Out of this teaching has come his textbook *Music: A Listener's*

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*The four essays presented here are partial revisions of papers read at a joint session of The College Music Society and the American Musicological Society, held at their 1987 annual meetings in New Orleans.

*Introduction*. His essay takes a somewhat different tack on the usefulness of musicology in dealing with a much broader population of students.

Margaret Murata, Professor of Music at the University of California, Irvine, is a specialist in Roman Baroque opera and cantata, with a book published by UMI Research Press, *Operas for the Papal Court, 1631–1669*. She teaches in a department that is largely performance-oriented, offering the Bachelor of Arts degree, the Bachelor of Music, and the Master of Fine Arts in performance. She speaks of her special concerns for non-major interdisciplinary courses and new ways of organizing them, as well as relationships between musicologists and studio teachers.

Katherine T. Rohrer is in a sense one of the products of the teaching of another member of the panel. She received her Ph.D. at Princeton and had her first teaching experience in 1976 as a preceptor in Kenneth Levy's introductory course. Between 1986 and 1988 she was director of the music appreciation course at Columbia University, heading a staff of forty faculty members and graduate students. She is now Director of Studies at Wilson College of Princeton University. Her musicological research deals with seventeenth-century England; she is writing a book for Princeton University Press about the linguistic basis of Henry Purcell's text-setting techniques.

# "Music History" as a Set of Problems: "Musicology" for Undergraduate Music Majors

JAMES A. HEPOKOSKI

ONE OF THE GENERAL QUESTIONS facing this panel is: "How does one's research influence one's teaching?" In the best of educational worlds, one should be surprised that this is a controversial matter at all. In principle, there should be no sharp division between research and teaching, for ideally one brings similar attitudes and the same kinds of critical thinking to both. But in the real world what probably comes to mind as the sticking point of this question is the issue of data selection: whether the information gathered by specific, highly specialized research can be imported in unfiltered fashion into the undergraduate classroom.

My own field of research, for example, is nineteenth-century Italian opera, and I must admit that most of the specific results of my work were not reported in my Nineteenth-Century Survey course for Oberlin Conservatory sophomores and juniors. One simply does not find much occasion—or desire—to reveal that "There is a provocative detail to be found on fol. 76$^{v}$ of the *Otello* manuscript," or to wax eloquent about the allure of sketch-study or musical revisions to students who are sometimes not deeply familiar with either the composer or the piece in question. And, clearly, this is to be expected: these things are specialized concerns, of interest mainly to those who are already acquainted with the fundamentals and are now prepared to grapple with and savor the details of individual compositions.

The looming problem, then, is this: in what sense can knowledge of the specialized inform our teaching of the general? And that is a far larger question. Much more important than this matter of "my research" is a sense of the whole enterprise—"everyone's research". Much more important than the issue of which "facts" are to be transmitted is the question of attitude—the manner in which one approaches an evolving body of knowledge at the undergraduate level. My preferred solution to this problem of the specialized and the general pivots on this cardinal point of attitude. That is, although one does not often engage specialized intricacies in lower-level courses, one must nevertheless sensitize students to the existence and the texture of the "higher" musicological enterprise that they might wish to touch more directly one day. If musicology is not always taught *per se*, it should at least be referred to frequently, "invoked," much as one might invoke the Calculus (as a kind of mathematical promised land) to those students beginning Algebra I.

Now again—and more specifically—each year at Oberlin I taught two semester-surveys for Conservatory students: courses in the nineteenth and the twentieth centuries. And as I reflected on this "foretaste-of-musicology" concept (which has apparently been a tacit assumption of mine for some time), I developed a set of four principles—mostly articulations of common problems to avoid, as it turns out. Each principle is informed by and directly related to the concerns of one's own musicological research. Each invites the classroom teacher to make frequent reference to that wider world of musicology, in order to help the students sense some of the excitement and sheer contentiousness of the discipline.

The first suggestion is: *Do not teach material or employ methodologies that will have to be discarded at a higher level of interest or expertise.* This is difficult counsel—perhaps impossible counsel—to follow, but it drives to the heart of the matter. At the most general levels we may not be able to use sketch-study, or sophisticated literary-critical or philosophical argumentation, or full-blown Schenkerian analysis or other new twentieth-century analytical techniques, but we can—and should—present our materials in a way that is at least congruent with these things. We should try to introduce some of the flavor of the higher modes of thought, and to do so in such a way that students coming to these topics full-strength later will experience not something totally new but a sense of recognition. This applies particularly to theoretical approaches to music. The simplest example that I could come up with along these lines—a perhaps too simple example—is the inevitable discussion of the "*Petrushka* chord" or the typical *Rite of Spring* harmonies. For the past decade or two many prominent theoretical discussions (by now commonly known) have been casting doubt on unqualified or unelaborated "bitonal" or "polytonal" interpretations of these sounds. Taken at mere face value, bitonality and polytonality are things that students will have to qualify radically, or even "un-learn," if they ever begin to deal seriously, for example, with octatonicism and octatonic-diatonic interactions, or other provocative new approaches to Stravinsky. But the "newer" concepts (and their surrounding controversies) can be presented, or at least introduced in some way, at the earliest levels, even if they cannot be expanded in full detail. Anticipatory nods can be made in their direction. The same thing applies to all such topics that are currently central concerns of musicological thought, such as the problems endemic to the Schubertian practice of employing double secondary tonalities (or "three-key expositions") within the first portions of his sonata forms, or the issues and implications surrounding Brahmsian "developing variation," or Carl Dahlhaus's paradigms of the driving aesthetic forces in music over the past four or five centuries. Even in relatively introductory classes one can touch upon the Schenkerian concept of sonata form (at least some issues can be introduced in an elementary format, with simplified diagrams), or the possibility of what have been called double-tonic complexes in the works of Wagner and Mahler, or the much misunderstood basic nineteenth-century Italian operatic structures, and so on. Clearly, no single teacher can become acquainted with all higher levels of all subjects. But the idea remains as a goal. Thus, to restate the first principle: "Even though the highest levels of thought cannot be presented fully unfurled in class, be sensitive to and aware of how these levels are currently treating the topic at hand."

The second principle: *Avoid conveying an image of "Music History" as a static, settled body of data. Rather, include provocative new discoveries, recent controversies, quarrels about values and methods of inquiry, and so forth.* Musicology, I think, teaches us a valuable lesson. Knowledge and "facts" are tenuous things. They are subject to revisions and turns of fashion, challenges, and changes. Accordingly, we should "let students in" on some of the more spectacular or controversial issues—precisely to stress this notion of a live and growing body of knowledge, few portions of which can be assumed to be immutable and protected from reinterpretation. I suppose that the "hidden program" of the *Lyric Suite* is now commonly mentioned in classrooms, but how about the most recent theories of Schumannesque or Wagnerian "narrative" or "symphonic" structures? And the point is to mention names: who discovered or proposed what, and when? Or: "Prior to the work of [Mr. or Ms. X] it was thought that . . . . But now, however, . . ." and so on. Students respond to controversy and to things that are not settled, that leave room for their own thought. The second principle urges us to conceive the undergraduate classroom as an introduction to a set of problems—problems considered within a content-rich, "fact-rich" environment. The guiding maxim is, if possible, to avoid giving the impression that one is passing on uninterpreted data or inert facts (the "telephone-book" approach to music history), for the truth is that no information is ever conveyed "neutrally," liberated from the axioms underlying its selection. Rather, one should strive to "expose" these underlying axioms (in however friendly a manner—it need not be hostile) and then to weave the crucial facts into coherent strands of a compelling narrative fabric: each datum arrives interpreted, and everyone in class needs to know it. Facts are valuable, that is, only insofar as they make reflection possible. This past year my nineteenth-century survey was fundamentally "about" the problem of creating and validating absolute instrumental music—a perhaps somewhat Dahlhausian concern. I tried not to lobby or to take sides, and (I hope) avoided pat answers. But the "facts" were placed within this general context and treated as something like individually proposed "answers" to the larger questions of nineteenth-century history. The unstated invitation of the class was to master enough factual material to be able to take part in the ongoing debate.

The third principle follows directly from the second: *Alert students early (and frequently) to the factors of bias, ideology, or misleading oversimplification in textbooks—and in one's own lectures*. How sad if students ever equate "music history" with a textbook! I must confess that I do not like textbooks much, particularly when they are used unquestioningly, that is, when they are perceived not as "interpretations" but as presumed collections of objective fact itself—sadly, the standard undergraduate response. My view is different. Nearly all of the principal textbooks seem to me to be unashamedly biased (nearly always either towards the concerns of nineteenth-century German and Austrian composers and "Romantic/progressive" compositional values or towards manifestly Austrian or, far less often, French "modernist" ideologies); and most of the textbooks are overly generalized, too self-confident in their data-assembling, too covertly suggestive that all the facts and values therein are unalterable. This "Germanic-Romantic" perspective—encountered typically as a set of hidden, unstated postulates driving the assessments and guiding the language-choices—is especially obvious to those scholars pursuing work outside of that immediate field of interest (work in Italian opera, for instance, or in nineteenth-century nationalism), or to those striving for relevant new perspectives on the canon (such as socially oriented, feminist, or "listener-response" perspectives, or, most recently, the perspectives of structuralism or deconstruction). The larger point here, again, is to use the techniques of "musicology" as a device to convey a lesson in controversy, critical thought, the hazards of bias, and the power of word-selection. By no means does this approach downplay the mastering of basic factual content. On the contrary, it should enhance it by raising its level: to adopt some of the language of the current general educational debate, "cultural literacy," or, for us, "music-historical literacy," needs to be given its full measure of respect. Still, within a factually saturated, content-rich course, the classroom activity can become a model for thought—for the posing of hard questions—and this is very much an "introduction to musicology".

Fourth, and finally: *Avoid implying that the crucial "aesthetic" features of the music of prior periods are easily accessible to us today; emphasize the importance of cultural contexts and differing modes of social and musical expectation and perception.* This, too, is a fruit of musicology that can find its way into the classroom. Music is not a "universal language". Different cultures will perceive different things within a piece (such are the direct concerns, for instance, of *Rezeptionsgeschichte*); music often "meant" different things to its first audiences. Some of today's more sophisticated music majors (or Conservatory students) come to class believing that certain pieces or styles are easy to absorb, as pleasant consumer items: a Schubert song, perhaps, or a Bach chorale, or Beethoven's Fifth Symphony. But these pieces are not "easy," and, moreover, I am increasingly convinced that "familiar" or presumably "simpler" music presents the greatest challenge of all, precisely because it lulls us into thinking erroneously that we actually do understand it. But in some important ways things like Donizetti's cabalettas can be more difficult to "understand" than, say, the individual scenes of Berg's *Wozzeck*, because of the predisposed attitudes that we all too often bring to them. Our "individualistic-Romantic" attitudes are already "in place" for the Berg—what we need now are technical skills to reinforce them; but for the presumably simpler Donizetti pieces we need to remake our whole value system, to step outside of ourselves and our own twentieth-century quick responses and habits—a far harder task. For music majors and Conservatory students we occasionally need to defamiliarize the classics, to make them more difficult, to expose levels of meaning and apparent intention that the students had no idea that the music had. And the techniques used and the methods appealed to are eminently "musicological".

One class that I found particularly rewarding was a discussion of the first portion of Chopin's *Andante spianato*. We heard it three or four times throughout the hour, with the perhaps unusual goal of making this seemingly transparent piece more "difficult," more alienated from conventional, late-twentieth-century "new world" aesthetic values. The procedure was to appeal to the work's nineteenth-century sociological context, to what we know of the qualities of the pianos that Chopin preferred and what little we know of his performance habits, and to conceivable nineteenth-century views of its structure and patterns of ornamentation. The point of the class—its refrain, so to speak—was that Chopin was having a private conversation with, in this case, upper-middle-class and upper-class Parisians in the 1830s and 1840s, a conversation founded on the particular social and aesthetic assumptions of those classes in that time and place. In the modern world, these are not our natural starting-points, and because Chopin's "conversation" was not intended for us to overhear, we are likely to miss much of its thrust. This point of view seems to me to be far healthier than an adherence to the "universal-language/easy access" fallacy. And it works: as mentioned above, students respond well to the honesty of the approach.

A word of warning, however, is appropriate at the close. No "method" or set of procedures can save or vitalize an ineffective communicator. Teaching is a function far more of personality than of method. But with this general caveat in mind, I would suggest the following in summary. The attitudes of musicology that can and should be in the undergraduate classroom are: that no issue is closed; that it is far easier to say something that is not true than something that is; and that the pursuit of knowledge—a rough-and-tumble enterprise—is the real heart of "musicology," and it is the very feature that makes it so compelling to those who are driven to think about music.

# Musicologists and Generalists: A Medieval Perspective

### Kenneth Levy

Each of us faces a different set of conditions in our teaching. Let me set out the ones to which my remarks now apply. I wear two hats at my school. Under one, I am a medievalist. With graduate students and an occasional undergraduate I look for some leading edge of the medieval discipline and try to bring order and light to what I find. Under my other hat I am a generalist. Each year I lecture to about half a thousand non-musician undergraduates. They are likely to receive just that one exposure to music during their college careers. I try to give them some of the basic orientations and skills needed to expand their musical perspectives. In some cases, this may lead them from Mozart and Schubert to Mahler and Schoenberg; in others from heavy metal and Springsteen to Mozart and Schubert. Change does not come easily, but I think this endeavor is important. Those who address non-musicians are forming the concert and opera audiences of the new generation. In a small way they are influencing future support for the arts in America. That is why I feel no lesser commitment to generalist teaching than I do to the objectives of higher-flying medievalism.

Now what does the musical medievalist do with these two kinds of teaching? How does one put them together? I would like to encourage an interest in medieval music among future scholars; and I would like to foster support for groups that perform early music. Do I try to distill my little bits of insight about Gregorian chant, or Notre Dame polyphony, or the Ars nova, so that their esoteric styles and rationales become more accessible to the general student? Or do I ignore the kind of music where my own professional stake is greatest and deal only with music that has less of a gap to bridge in order to reach the general student?

My answer is a reluctant one. When teaching large groups of non-musicians under tight constraints of classroom time, I think it better to ignore the medieval and concentrate on the classics of major-minor tonality, and then to mount an advocacy for the music of our own time. Only under a very generous dispensation of teaching hours do I believe in including the medieval.

If there is to be medieval music, then plainchant is the way to begin. Its single strand speaks readily to the novice listener; its churchliness adds an obvious appeal. Indeed, it may speak too readily. Plainchant falls easy prey to romantic misconceptions, and the focus must be kept on tougher issues: scale and mode; conceptions of "form"; processes of "composition"; functions of oral and written transmission. After plainchant there might be Parisian organum or the Summer Canon; a ballade of Machaut or a madrigal of Jacopo. But with these I think one has already gone beyond the usefulness of medieval materials. With limited time in a general course, I prefer to use music whose values speak readily to present-day minds and ears. I would abandon the music in which I am most interested.

Yet if medieval music itself does not stand high on my list of generalist priorities, there are still some things that a medievalist preoccupation contributes to the fabric of my teaching. One concerns the quantity of raw fact—names, dates, places, devices—that the student is asked to absorb. To obtain a working knowledge of medieval music one must control a lot of out-of-the-way and often accidentally-preserved fact. Yet memorizing such quantities of material has little value for a general introduction to the nature of musical discourse. Most of the useful facts about Bach, Mozart, Beethoven, Perotin, can be gotten from reference works outside of a course. Within curricular time, and certainly within lecture time, I think it much better to disregard such externals and concentrate on learning some skills of analytic listening.

Another issue is the use of musical notation. Everyone who deals regularly with plainchant neumes is reminded that the five-line staff is a direct descendant of the oldest *campo aperto* notation. Those first chant manuscripts give representations that are not altogether specific; there are precise analogues of the pitch succession—of the intervallic continuity; but there are not the details of actual pitch, or all the nuances of rhythm. Those are left to the memories of choir directors and singers. The chant notations were incomplete—they were selective "diagrams". What I propose is that we take a lesson from the medieval practice and make the written interface between our undergraduates and the music depend, not on the surfeit of information supplied by a composer's score, but on much simpler means: on *listening diagrams* that support the novice's efforts at hearing and remembering. I don't believe we should use a full score, a piano score, even a line-score. Acquiring an elementary skill in score-"reading" gives only an artificial sense of accomplishment. It leads to recognizing, acknowledging, "following" the music, not to the sort of contemplative involvement in sound-pattern that produces deeper understanding. I also see little value in the kind of listening "diagrams" that have the student follow the music with stopwatch in hand, waiting to hear—again, to "acknowledge"—the appearance of a French horn at 1:32 or a tympani stroke at 3:17. Those are superficials.

I do teach a bit of staff-notation, but only what can be gotten into a quarter-hour. Instead, for a given piece, I try to pick some elements that are worth students' attention, and to render these in a map of the musical continuity. This may chart thematic, motivic, or tonal features (sometimes tone color); and these are translated as words, doodles, bits of musical notation. Each piece may have a different sort of diagram. My aim in these charts of musical events is to encourage analytic listening—to engage the students in evaluating the composer's choices. I want them to "hear" the shape of the forest, not just see the noted twigs. A further point: such diagrams are not to be taken as representatives of "authority"—the way a full score is. Precisely because they are independent of the composer's written formulation, they can be viewed as tentative, incomplete, susceptible to improvement, provocative of further inquiry.

To conclude, my interest in medieval music reminds me of the obstacles that a novice listener must face when dealing with the foreign language of music. To reduce those obstacles, I look for synthetic means. I think that, like the medieval notator whose concern was to support the chorister's memory, today's musical generalist should be concerned with devising visual aids that support the beginning students' processes of listening and remembering. So in the end, I don't advocate a direct use of medieval music in generalist teaching. But I believe that an involvement with medieval materials can have some useful lessons.

# Musicology and the Music Major

MARGARET MURATA

THE REWARDS AND EXCITEMENT of teaching music to the general college student are often immediate and can also be long lasting, not infrequently because the biology or engineering student may play as well as or more ably than a music major and because he may be motivated to make the most of the limited number of music courses he can fit into his course of study. Such a student may take a music appreciation course of the kind Professor Levy describes, or a course surveying the history of music, a "period" course, or some interdisciplinary course that includes music. He may easily end up taking more classes from the musicologists on the faculty than does the music major, who often takes only the required semesters of a music history survey. Certainly we teach more in courses than just the course material, as Professor Hepokoski's points demonstrate; but nevertheless, the limited contact between the "musicologist" and the undergraduate music major hardly provides the opportunity to present the variety and the scope of the skills and interests of most musicologists. The music student should not go on to a career in music imagining that "musicology"—whatever it is thought to be—is an ancillary or a circumscribed aspect of music.

The job of the musicologist-teacher, however, is not to prove that his territory is broad; rather it is to broaden the resources and musical experiences of his students. As a group, music majors have the most intense and constant involvement with music, but typically it is also narrow and restricted in terms of style and repertory. Trying to analyze a Mozart wind serenade with great reluctance, one oboist protested to me recently, "But I'm an instrumentalist, and all I want to do is play my instrument!" Today's music majors will fill the teaching studios of tomorrow, and the breadth or narrowness of their educations will determine the breadth or narrowness of the next crop of musicians.

Because the music historian may teach any one student for as short a time as a single quarter or semester, while a performance student may work with a studio teacher for as long as four years, the indirect way for "musicology" to present itself to undergraduates is in cooperation with the studio faculty. I teach in a modestly sized music department with two other music historians and thirty studio instructors, so musicology is not off in its own department, emerging only to give service courses. We have plenty of opportunity to interact with performers, composers, conductors, and students, and do so regularly. Still, it takes an effort to diminish the instructional gap between the studio and "academics". I have said how important I think it is to remove this gap, whether it is real or perceived. My few suggestions here for doing so are addressed as if to music historians, but they can easily be read as a set of expectations for musicology in the undergraduate environment.

1. *Be recognized as a resource person*, for information about editions, repertory, reference works, ornamentation and such like, or for translating texts for singers and choral conductors. The more informal such exchange can be the better.
2. *Be an academic middleman* between colleagues in other disciplines such as physics, literature, anthropology, or ethnic studies, and the music classroom – not necessarily your own classroom. At Irvine, for example, we had a successful series of lecture/master classes for voice students on specific repertories, such as settings of Goethe or French poets, which the students prepared to perform and professors from the French and German faculties discussed. Mallarmé is difficult enough to interpret as literature, and the average music student does not have enough French to take an advanced poetry course; yet we expect a sophisticated French set of all voice majors! One master class given by Professor Renée Hubert on Baudelaire, Mallarmé, Verlaine, and Éluard explicated specific poems and placed them in a historical and interpretive context that was as illuminating to the music faculty who attended as to the undergraduates in the performance class.

   Furthermore, most music students either don't have the time or the motivation and guidance to "shop around" for general courses. It is really up to the music faculty to bring acousticians, actors, literary critics, and cultural historians into the study, interpretation, and composition of music, on an imaginative and lively *ad hoc* basis.

My third and fourth suggestions are less concrete and more difficult to implement. Both pertain to that currently elusive concept called "performance practice," because the most common exchanges between studio teacher and musicologist concern questions in this area. Today, performance practice is not just a field collecting more and more "how to" recipes for playing music of increasingly specific times and locales. It is a field also trying to establish a more general framework for understanding performing, for thinking about what constitutes those practical, intellectual, and cultural elements that turn a score into music.

3. Therefore, *the notion of "performance practice" itself has to be made more open and "user friendly"*. Currently we have sets of possibilities from which performers make better or worse decisions. "Alternative" options have penetrated well into the nineteenth-century repertory. Pluralism in various mixes has replaced purism (e.g. Simon Rattle adapting his lessons on early violin to his wonderful performance of Haydn's *Creation* with the Los Angeles Philharmonic). Some areas of musicology, like some performers, are testing scores as increasingly open texts. This spirit of experimentation needs to be conveyed to the student to encourage musical involvement and creativity, though without diminishing the basic discipline to be learned from so-called "literal" readings. Coaching student singers and accompanists or the occasional chamber ensemble is a direct way to try out different articulations, tone productions, tempo adjustments, bow strokes, phrasings, etc., in the guise of rehearsal techniques. This increases flexibility of response in the student, as it casts different lights on the score. To paraphrase Professor Hepokoski's second and fourth points: avoid conveying an "image" of any musical composition as a static, ideal entity. Avoid implying that the "aesthetic" features of any musical composition are fixed and immutable. These injunctions are as applicable to Mozart as to Landini.
4. The musicologist, then, has also to *be a present force for historical consciousness—not only on behalf of compositions, but also on behalf of how they are played*. That Trevor Pinnock differs from Thurston Dart is not just a matter of new knowledge from archives, treatises, and instrument restorations. That Munch's Debussy differs from Boulez's is not a matter of a new critical edition. The musicologist, more than any other music professional, is in a position—I would say *is obligated*—to articulate and make explicit the tensions and shifts between changing "oral traditions" in Western musical performance and changing modes of reading scores. This, too, is a part of music history. It is a part not contained in the shelves upon shelves of Monuments of Music, and it is certainly absent in music history textbooks. Every undergraduate deserves a discussion of "fidelity to the score" as meant by Schnabel, Salzer, and Toscanini; it is a topic inversely related to the frustrated cry of a professor of piano, "How do you *teach* schmalz?"

The constant, underlying complaint of undergraduates is that music courses don't have related goals, that they don't apply to each other. Of course they do, but the students do not realize where the synthesis takes place. "Performance" to them usually signifies *doing* something: moving your fingers, modifying your embouchure, keeping your larynx down. Students are not aware that harmony and history, as well as studio lessons, are *all ear-training* in part, and that it is the ear that makes the musician. Several years ago, Edward T. Cone pointed out that critics (musicologists) and composers were also performers,[1] in the sense that all are readers and interpreters of scores. The organ that does this reading and interpreting for all types of performers is not the hand or eye, but the "inner ear". The different courses that form the music major's core education all help him develop this inner ear. As they must, these courses teach him first to deal with what is in the score. Beyond this, musicologists, like studio teachers, also can and must convey knowledge about essential aspects of music that are *not* present in scores. These unwritten aspects are the sources of both the infinite variety and the vitality of our arts of sound.

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[1] Edward T. Cone, "The Authority of Music Criticism," *Journal of the American Musicological Society* 34 (1981):1-18.

# Machaut for the Masses, or, How Musicology Ruins Your Teaching

KATHERINE T. ROHRER

AT THE VERY END of my time today I will tell you something about new ideas on seventeenth-century English vocal music, the field in which I do most of my work; but to start I want to talk about the way in which graduate studies in musicology prepare us to do all the wrong things in the classroom.

My remarks are directed towards the teaching of an introductory music appreciation course, something that most of us do from time to time. At Columbia University we taught a one-semester music appreciation course that is required of all undergraduates and is part of the famous Columbia College core curriculum. On principle this course is taught not by large lecture classes but in small sections—twenty-five students to a class—and there were almost thirty sections of the course every semester. Of course there were not enough faculty members to cover this huge teaching demand, so the course was staffed mainly with graduate students. I suppose I taught this course about twelve times in my years at Columbia, and for two years I was the director of the course and had the opportunity of watching other people teach it. This experience reminded me of what I learned when I first started teaching, which is that one has to throw away ninety percent of the musicological interests and instincts one develops in graduate school in order to teach undergraduates successfully.

For instance, one big lesson we learn as scholars is to tell the truth—not to pass on old ideas without examining them, not to generalize from partial knowledge, not to speak out on a subject without having thoroughly investigated it first. That's great when we write our dissertations, but what happens when we hit the classroom? Instant paralysis. Everything we thought we knew as undergraduates looks shabby and dubious in the cold light of scholarship. We're afraid to open our mouths on the simplest subject without spending hours in the library reading the latest research. Now in fact this is a *good* instinct, not a bad one, but in my teaching life at least it has caused a lot of pain and fear—fear of saying something that is not entirely true.

Another thing we learn is to tell not only the truth, but the whole truth. If we apply ourselves in school, we come out with a marvelous knowledge of how things developed, what genres succeeded what, which personal styles exerted mutual influence, how notation reflects and doesn't reflect performance, and lots more. Then we start to teach and try to stuff all this fascinating material into fourteen weeks of an introductory class, and it doesn't work. Having just finished a seminar on, say, Mozart's operas, how do you schedule an effective two-hour class on the same for an introductory course? Suppose you're an *Idomeneo* freak; do you teach the quartet instead of doing *Don Giovanni*? I would say no, because the needs of our students have to come before our own. We have to remember that we ourselves learned to love *Figaro* or *Don Giovanni* long before we'd even heard of *Idomeneo*, and no matter how compelling its music is, our students just aren't as likely to have the opportunity to go see it in the opera house.

Graduate studies do tend to set us on fire with the lore of esoterica. This is reflected by a joke once passed on to me by Chappell White. A bunch of musicologists are sitting around, and the name of Beethoven comes up in the conversation. Everyone looks blank for a minute until someone says "Oh yes, wasn't he a student of Albrechtsberger?" Now when I was a student at Princeton we all knew who Beethoven was, but we were more comfortable discussing the sketches for the unfinished works between 1815 and 1817 than the way to teach the Ninth Symphony. It's so easy for us to lose our sense of priorities. I was horrified one day when I heard one of our graduate student instructors at Columbia explaining some aspect of conductus to a baffled student at a departmental review session. Now I love conductus, and I'm sure you do too, but in my book conductus has no place in a one-semester introductory music course. We're supposed to teach our students to love music, to patronize it in the concert hall and the record store, to make it a cherished part of their lives—we *don't* have to teach them the full story of the development of Western music in a single semester. The hardest thing I've had to do in the teaching of this course is to keep cutting and simplifying until I'm concentrating on the most basic issues in ways that will communicate my own love and understanding of the music to my students.

So what good *is* graduate study in musicology for teaching, then? Well, it does keep us from telling out-and-out lies, even if we can't always tell the whole truth. And it does help us to answer questions in a responsible way. If our teaching is clear and direct enough, uncluttered by those nasty details we learn in graduate school, we'll probably be rewarded by some of those gratifying questions that make us say "I'm so glad you asked that! And you're lucky to have a musicologist as a teacher, because I know the answer."

* * *

I don't get to use much of my own research in teaching undergraduates, even in upper-level music courses, because it takes so long just to explain the theoretical basis of speech stress, rhythm, and intonation in English that I never have time to fit it in. But I do have a couple of suggestions for you that stem from recent thought about English Restoration music in my own work and that of others.

First, don't ever say something like "In this piece the music fits the words perfectly" without knowing precisely what you mean. If you mean that the expressive qualities of the music enhance the meaning of the text, say that. If you're talking about the sound effects of the text—stress, rhythm, intonation—and their translation into music, be aware that at least for English we can now talk with some authority about the language but that the picture is pretty complicated. It's not really valid to examine your own speech habits and ascribe them to Henry Purcell, for instance.

Second—and this may be of more use to you—when you teach music of the later seventeenth century, especially in upper-level history classes, think about choosing one of Purcell's big stage works to look at instead of *Dido and Aeneas*. *Dido* is a terrific piece, infinitely worthy and all that, but it's hardly typical of Purcell's achievement or of the exciting things happening on the Restoration stage at the end of his lifetime. The more important pieces are the ones we are now calling "dramatic(k) operas," after a contemporary term; they are stage works in which the music is primary and the text (i.e., spoken dialogue) secondary—in other words, plays written to provide an excuse for music, as in the Broadway musical. The two dramatic operas of Purcell's that are most often recorded and written about are *King Arthur* from 1691 and *The Fairy Queen* from 1692 and 1693; both are full of music of great beauty and variety, and both are of great cultural interest as literary/musical extravaganzas. As far as I'm concerned, too, they are operas—*Carmen* has spoken dialogue too—so it's not accurate to tell your class that the only operas composed in Restoration England were Blow's *Venus and Adonis* and Purcell's *Dido*. You can find useful material on *King Arthur* in an article by David Charlton, "*King Arthur*: Dramatick Opera," in *Music and Letters* 64 (1983):183-92; on *The Fairy Queen* in an article by Roger Savage, "The Shakespeare-Purcell *Fairy Queen*: A Defense and Recommendation," in *Early Music* 1 (1973):201-21; and on both in Curtis Price's recent book *Henry Purcell and the London Stage* (Cambridge: Cambridge University Press, 1984).

*Music of the Masters—and Others?*

# The Authenticity of the Symphony in A Minor (K16a) Attributed to Mozart: A Stylistic Study

SCOTT FRUEHWALD

ON FEBRUARY 5, 1983, a front-page article in the *New York Times* by Harold C. Schonberg proclaimed the discovery of Mozart's earliest symphony—the Symphony in A Minor (K16a).[1] Schonberg declared that "with such authorities as Jens Peter Larsen of Copenhagen University and Jan LaRue of New York University vouching for the authenticity of the manuscript, few will doubt the findings."[2] The next day Larsen made similar assertions in the *Sunday Telegraph*.

A program shown on the Arts & Entertainment Network in January 1985 produced further claims that K16a was by Mozart.[3] The program included a musical discussion of the symphony by Larsen that presented almost foolproof evidence that it was by Mozart, and also cited LaRue and Alan Tyson in support of the symphony's genuineness. Several reviewers of the program stated that the performance of the A Minor Symphony convinced them it was by Mozart.[4] Furthermore, in his notes to the premiere recording, Robert Dearling concluded that K16a was by Mozart.[5] Finally, the acceptance of the symphony as genuine Mozart has gone so far that Stanley Sadie included it among the authentic symphonies in the latest updating of the *New Grove Mozart*.[6]

While K16a has been widely accepted as a Mozart symphony, a few scholars have raised serious doubts about its genuineness. Neal Zaslaw and Cliff Eisen questioned the symphony on both documentary and general stylistic grounds. They concluded that K16a belongs in a list of Mozart's doubtful works, but that it cannot

[1] Harold C. Schonberg, "Mozart's Earliest Symphony, Composed at 9, is Discovered," *The New York Times* (February 5, 1983), 1, 11.

[2] *Ibid.*, p. 11.

[3] "The Mozart Miracle," Arts & Entertainment Network, January 11, 1985, 9 PM. Hosted by Tom Hulce; script by E. F. Nielsen and Curtis Davis.

[4] For example, Leighton Kerner, "Lost and Found," *The Village Voice* 30/7 (February 12, 1985), 79 and Donald Rosenberg, "A Fascinating Program: 'The Mozart Miracle'," *Akron Beacon Journal* (January 10, 1985).

[5] Robert Dearling, "Notes" to "W. A. Mozart: The First Three Symphonies & Symphony K16a 'Odense'," Unicorn DKP 9039, 1984.

[6] Stanley Sadie, *The New Grove Mozart* (New York: Norton, 1984), 193.

be proven spurious.[7] Eva Badura-Skoda reached the same conclusion in her article on K16a.[8]

## DOCUMENTARY EVIDENCE

Gunnar Thygesen, librarian of the Odense (Denmark) Symphony, discovered manuscript parts for K16a in 1982. The manuscript had been found with other works when the cellar of the Odense county hall was cleaned out in 1943, and the manuscripts were donated to the Odense Symphony. No one had closely examined the manuscripts before Thygesen. The watermark indicates that the paper dates from 1779 and comes from Annonay, a small town forty miles south of Lyon, France.[9] The Odense Music Club apparently acquired the manuscript in 1793. It was labeled as a symphony for ten instruments and contained the ascription "del sigr Mozart." Thygesen stated that "Initially I thought that the piece might have been written by another Mozart, possibly the great composer's father, but our research has shown that the way the music is written, its types and moods, makes us certain that it is genuine."[10] After consulting with LaRue, Larsen agreed.[11]

Scholars had conjectured the existence of K16a long before the discovery of the Odense manuscript. The incipit of the symphony appeared in a Brietkopf & Härtel manuscript catalogue of Mozart's works, indicating they once had the piece in their archives.[12] They stated that they had obtained the composition from the Hamburg music dealer Johann Christoph Westphal. Westphal had advertised an A Minor symphony for ten instruments by Mozart in 1786, which is probably K16a.[13]

Several scholars have hypothesized that K16a was among the thirteen early symphonies listed in Leopold Mozart's catalogue of his son's works written between his seventh and twelfth years. (Neal Zaslaw in an article on this catalogue believes that it was completed between November 12th and December 16th, 1768).[14] The listing reads "13 Synfonien à 2 Violini, 2 Hautb, 2 Corni, Viola, e Basso."[15] Erich Hermann Müller von Asow and Karl Franz Müller included 16a as one of the early symphonies, while Zaslaw tentatively accepted it among the group in his article on the catalogue.[16]

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[7] Neal Zaslaw and Cliff Eisen, "Signor Mozart's Symphony in A Minor, K. Anhang 220 = 16a," *Journal of Musicology* 4 (1984–85):191–206.

[8] Eva Badura-Skoda, " 'Die Odense-Symphonie' KV16a = Eine Symphonie von Mozart?," *Österreichische Musik-Zeitschrift* 40 (1985):311.

[9] According to Tyson on "The Mozart Miracle."

[10] Quoted in Schonberg, p. 11.

[11] *Ibid.*

[12] "Thematisches Verzeichnis der sämtlichen Werke von W. A. Mozart. Manuscript chemals im Archiv des Hauses Breitkopf & Härtel," Leipzig. The original of this catalogue was destroyed in World War II, but a copy by Köchel is in the Gesellschaft der Musikfreunde in Vienna. The symphony is No. 62 in catalogue S10.

[13] Incomplete copies of this catalogue exist in the Bibliothèque Royale in Brussels and the Gesellschaft der Musikfreunde in Vienna.

[14] Neal Zaslaw, "Leopold Mozart's List of His Son's Works," in *Music in the Classical Period*, ed. Allan W. Atlas (New York: Pendragon Press, 1985), 332.

[15] *Wolfgang Amadeus Mozart: Verzeichnis aller meiner Werke und Leopold Mozart: Verzeichnis der Jugendwerke W. A. Mozarts*, ed. E. Müller von Asow (Wiesbaden: Ludwig Doblinger, 1956), 2.

[16] Müller von Asow; K. F. Müller, *W. A. Mozarts Gesamtkatalog seiner Werke: "Köchel-Verzeichnis"*

Based on the documentary evidence, Alfred Einstein moved the symphony from the appendix of the Köchel Mozart Catalogue, where it was listed as K. Anh. 220, to the authentic works when he revised Köchel.[17] Later editions of Köchel have kept K16a with the authentic symphonies.[18] The entry in Köchel is probably the main reason that some scholars have so quickly accepted K16a as genuine Mozart.

In summary, four pieces of documentary evidence support the authenticity of K16a:

1) a set of manuscript parts in Odense, Denmark;
2) a listing in the Breitkopf & Härtel manuscript catalogues of Mozart's works;
3) an advertisement by Westphal for an A Minor Symphony; and
4) evidence from Leopold Mozart's catalog of his son's works that there are several missing symphonies.

There are problems with all the above items. First, one cannot connect the Odense manuscript with Mozart or any of his regular copyists. An attribution in a source that cannot be connected with the composer is not a reliable indicator of authenticity. Misattributions in secondary manuscripts were common in the eighteenth century, especially for popular composers. The reasons for this range from mistake to fraud.[19] Second, the Breitkopf & Härtel catalogues contain several misattributions. K16a is listed as number 62 in catalogue S10, and it is grouped with three symphonies obtained from Westphal (nos. 61, 63, 64). Of these, one (K Anh C11.06) is by Leopold, another (K Ahn C11.08) is lost and usually considered doubtful, and the third (K318) is definitely authentic. Third, since Breitkopf & Härtel acquired K16a from Westphal, one cannot regard the Westphal advertisement as conclusive evidence for the symphony's authenticity.

Finally, while it is probable that there are several lost early symphonies based on the Leopold Mozart catalogue, one cannot automatically assume that K16a is among them. To begin with, its instrumentation does not match. There are two bassoons in the Odense source that are not listed in Leopold's catalogue. These bassoons are independent parts and do more than just double the bass line. More important is the date of K16a; to be one of the symphonies in Leopold's catalogue, it must have been composed before the end of 1768. Proposed dates for K16a vary from 1764/65 to 1768 to the late 1760s. Dearling, Schonberg, and Einstein favor 1764/65, Larsen 1768, and Sadie the late 1760s.[20] I believe, however, that the symphony, if by Mozart, must have been written slightly later (early to mid 1770s), based on aspects of instrumentation (especially the treatment of the bass line), the

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(Vienna: Kaltschmid, 1951), 17–28; and Zaslaw, 332. Zaslaw's opinion in this article is apparently earlier than his differing opinion in the article on 16a.

[17] Ludwig Ritter von Köchel, *Chronologisch-thematisches Verzeichnis sämtlicher Tonwerke Wolfgang Amade Mozarts*, 3rd ed., ed. Alfred Einstein (Ann Arbor: Edwards, 1937).

[18] Köchel, *Chronologisch-thematisches Verzeichnis*, 7th ed., ed. F. Giegling, A. Weinmann, and G. Sievers (Wiesbaden: Breitkopf & Härtel, 1965).

[19] See Jan LaRue, "Major and Minor Mysteries of Indentification in the Eighteenth-Century Symphony," *Journal of the American Musicological Society* 13 (1960):181–85 and Scott Fruehwald, *Authenticity Problems in Joseph Haydn's Early Instrumental Works: A Stylistic Investigation* (New York: Pendragon Press, 1988), 3–7.

[20] Dearling; Schonberg; Köchel Verzeichnis, 3rd ed.; "The Mozart Miracle"; and Sadie, 193.

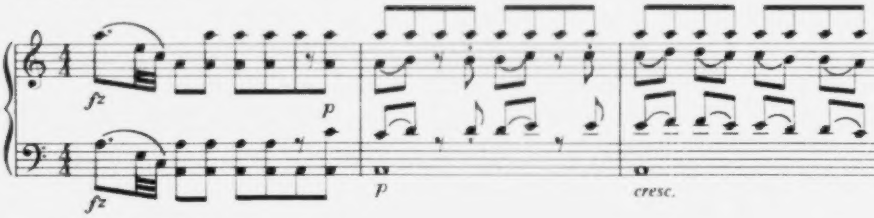
use of minor and the influence of the *Sturm und Drang*, and form.[21] If I am correct, K16a cannot be among the symphonies listed in Leopold's catalogue, which would weaken the case for its authenticity.

Zaslaw and Eisen make another attack on the documentary support for the symphony. They believe that the Odense manuscript was acquired from Westphal, which, if true, would mean that all attributions for K16a derive from the same source.[22] They base their theory on evidence that the club had dealings with Westphal and correspondences between the Odense register and the Westphal catalogue. However, they fail to explain why a work obtained from a Hamburg music dealer in 1793 has a southern French watermark dating from 1779.

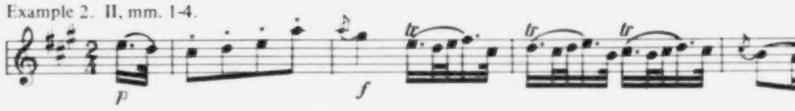
### General Stylistic Evidence

K16a comprises three movements: an Allegro Moderato in sonata form (Example 1), an Andantino in sonatina form (Example 2), and a Rondo Finale, also Allegro Moderato (Example 3). The outer movements are in A Minor, while the slow movement is in the tonic major. The opening movement typifies the *Sturm und Drang* style with quick dynamic changes, wide leaps in the melodic line, frequent repetition, and a great deal of dissonance, including diminished seventh chords (Examples 1, 4, 5). Its most unusual feature is that the exposition ends in VI (F major) rather than the relative major (C major). The lyrical second movement contrasts sharply with the intense opening movement. It is marked by dynamic contrasts and considerable ornamentation (Examples 2, 6). The rondo falls into A(i)-B(III)-A(i)-C(I)-D(i)-A(i) form. The C section is partially a variation on A (compare Examples 3 and 7), but it contains a new middle section, making it a miniature a-b-a form and eight measures longer than the sixteen-measure A.

Example 1. I, mm. 1-3.



Example 2. II, mm. 1-4.



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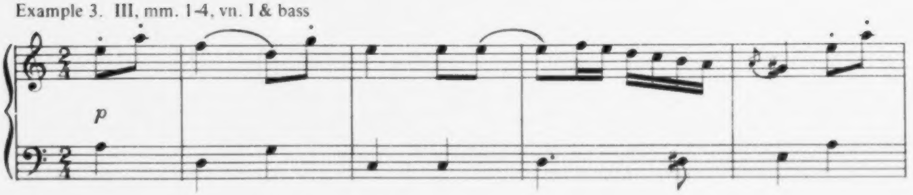
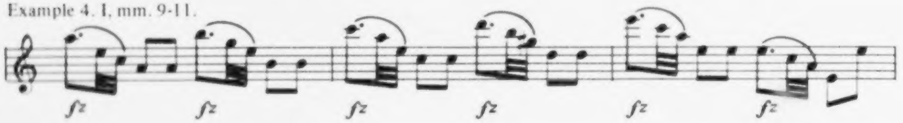
[21] Mozart's first *Sturm und Drang*-influenced work, the overture to *La Betulia liberata*, was written in 1771.

[22] Zaslaw and Eisen, 196–98.

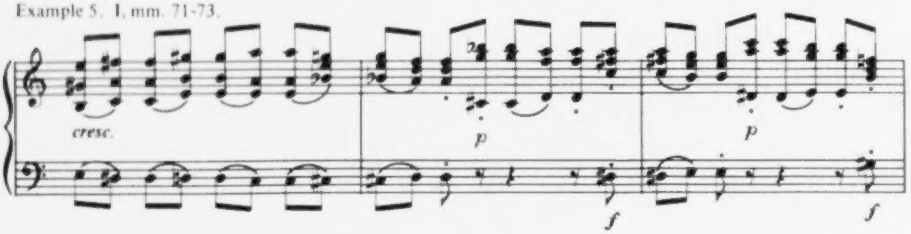
Example 3. III, mm. 1-4, vn. I & bass



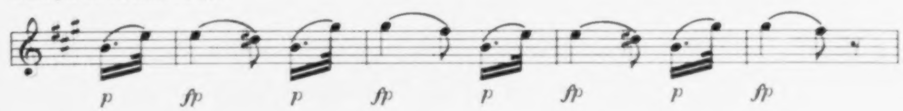
Example 4. I, mm. 9-11.



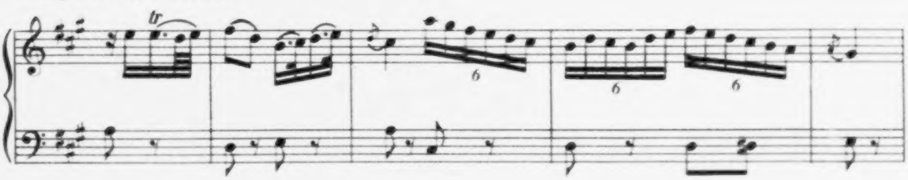
Example 5. I, mm. 71-73.



Example 6. II, mm. 16-20.



Example 7. III, mm. 48-52.



The stylistic evidence that scholars have adduced concerning the authorship of K16a has been conflicting. Larsen has noted melodic and formal similarities between K16a and K43, K45, K45a, K48, and K134.[23] Dearling finds Mozart's style in the mixture of stylistic influences; "the extensive use of the downward opening stroke," which at one point "bears a striking resemblance to the opening stroke of Symphony No. 21" (K134); "the characteristically Mozartean use of the fp dynamic" in the second movement; and the suggestion in the finale of "the 'Turkish music' Mozart was to write later and the folklike Kehraus finales of Leopold's occasional music."[24]

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[23] "The Mozart Miracle."

While believing the general style of K16a resembles that of several early Mozart symphonies and that there are also similarities on a more detailed level, Zaslaw and Eisen have detected traits that are unlike Mozart's early symphonies: the exposition of the first movement ends in F major (VI); the motivic content of the first movement is derived from the first three measures (as opposed to Mozart's usual practice of using several themes); all three movements are in some form of A; the outer movements are both Allegro Moderato (Mozart usually has finales faster than the opening); cellos and basses are divisi in the first movement; it contains notations not common in early Mozart, such as ff, mancando, smorzando; and the horn writing is conservative.[25]

While some of these traits do occur occasionally in Mozart's early symphonies (for example, ff appears in m. 57, concertmaster's part of an authentic version of K45a/I), certain of them do raise suspicions whether Mozart wrote K16a. Especially striking is the divisi bass line. Mozart's first confirmed use of a divisi bass line in a symphony is K318 from 1779, well after he could have written K16a.

## A SYSTEMATIC STYLISTIC STUDY OF K16A

It is apparent that one cannot make a definitive case for the authenticity or nonauthenticity of K16a based on documentary or general stylistic evidence. While documentary support for K16a is weak and inconclusive, there is no documentary evidence, such as a conflicting attribution, that Mozart did not write the symphony. Similarly, stylistic discussions of K16a have been conflicting. Finally, careful scholars, such as Larsen and Zaslaw, have examined the existing evidence and come to opposite conclusions.

What is needed is a more rigorous stylistic study of K16a. Several scholars have developed systematic stylistic methods for determining authenticity, including Jan LaRue, Marvin Paymer, and the present author.[26] In the following pages, I shall present my method for determining authenticity, then apply the method to K16a.

## THE METHOD

I developed a method for determining authenticity by style for a study of Haydn's early instrumental works, and I have also applied the method to the music of Hoffstetter, Pleyel, Pergolesi, and three minor Renaissance composers.[27] As employed here, the method consists of drawing up a stylistic checklist containing positive traits that occur in all compositions from a group of selected previously-authenticated works by a particular composer (Control Group I; in this paper, authentic Mozart symphonies) and negative traits that appear in none of the pieces, and testing the doubtful works (pieces whose authenticity is in question, in this case, K16a) against the checklist. Control Group I should include compositions of the same type as the doubtful ones (compare minuets of symphonies with minuets of symphonies), and it should cover the entire period in which the doubtful pieces could have been composed. The final checklist generally comprises from ten to twenty traits.

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[24] Dearling.

[25] Zaslaw and Eisen, 201–3.

[26] Jan LaRue, "Mozart or Dittersdorf," *Mozart-Jahrbuch*, 1971/72, 40–49; Marvin Paymer, *The Instrumental Music Attributed to Giovanni Battista Pergolesi: A Study in Authenticity* (Ph.D. diss., City University of New York, 1977); and Scott Fruehwald, *Authenticity Problems*, 17–37.

One finds traits by searching works in Control Group I for characteristics that might be consistent throughout the entire group. To find such traits, it is best to concentrate on one part of a movement (such as the opening measure), one instrument (the first violin), or one element of style (rhythm, texture, range) at a time. Characteristics are usually minor aspects of style, traits that are often ignored in analyses made for understanding the music, but which are important in establishing authenticity. To find negative traits, it is easiest to look at works not by the composer of the authentic pieces (in this study, non-Mozart symphonies), and see if the characteristics in these compositions occur in the authentic works in Control Group I. Traits that have proven most effective in previous studies include rhythms not found in a composer's works, characteristics in the main voices (i.e., first violin, bass), traits at important places in the movement (first measure, last measure), and aspects of texture and range.

After completing a list of potential characteristics valid for all authentic works in Control Group I, I test the traits against a group of comparable pieces by a wide variety of composers not including the composer of the Control Group I works (Control Group II—in this paper, non-Mozart symphonies, generally ten to twenty compositions). I reject positive traits that appear in more than 60% of the Control Group II works and negative traits that occur in less than 40% of this group from the checklist because they are too much a part of the contemporary vernacular. (One should list the percentage of Control Group II pieces that contain a trait after the characteristic on the charts. See Charts 1, 3, 5).

Next, one establishes the scoring. To pass a positive characteristic, a work must contain all parts of that trait, and to pass a negative characteristic, it must contain no part of the trait. Most characteristics receive one point, but I weight those traits that are valid for one or none of the Control Group II pieces with two points. One takes authenticated compositions by the main composer of the same time and period as the Control Group I works that were not used in this group (Test Group I; in this paper, additional Mozart symphonies) and employs the lowest score of these pieces to establish the lowest passing score. One then determines the midpoint between the lowest passing score from Test Group I and the highest score of the pieces in Control Group II and gives everything between the midpoint and the lowest passing score to the borderline category and everything below the midpoint to the failing category. For example, if the lowest passing score is 12 and the highest Control Group II score is 7, 12 and above would be passing, 10–11 borderline, and below 10 failing. (The midpoint between 7 and 12 is 9.5). It is best to have at least two points in the borderline category to separate passing and failing distinctly. Not only does this make the results more convincing, it compensates for a small number of errors that may occur during a study.

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[27] The studies of Pleyel and Hoffstetter can be found in my *Authenticity Problems*, a study of Pergolesi's sacred works was done for the Pergolesi Complete Edition, and the studies of the M. I pieces in Perugia 431 and the chansons of Fresneau and Pietrequin are unpublished.

After completing the checklist, one should test it with additional pieces by the composer (Test Group I: authentic Mozart symphonies) and not by the composer (Test Group II: non-Mozart symphonies).[28] All authentic works must pass the checklist and all pieces not by the main composer must fail. If this doesn't happen, the checklist must be revised and retested. When the validity of the profile has been proven, one can test the doubtful pieces against it.[29]

The above method for determining authenticity by style may be summarized as follows:

*Step 1:* assemble four groups of compositions. *Control Group I*—a set of previously-authenticated works by the main composer of the same type and period as the doubtful pieces (authentic Mozart symphonies); *Control Group II*—a set of works not by the main composer, also of the same time and genre as the doubtful pieces (non-Mozart symphonies); *Test Group I*—additional comparable works by the main composer (additional Mozart symphonies); and *Test Group II*—additional comparable works not by the main composer (additional non-Mozart symphonies);

*Step 2:* draw up a preliminary checklist of positive and negative characteristics that are valid for all authentic compositions in Control Group I;

*Step 3:* refine the checklist by rejecting those positive traits that appear in more than 60% of the Control Group II works and those negative traits that occur in less than 40% of the pieces;

*Step 4:* establish the scoring criteria. a) Most characteristics receive one point; weight those characteristics that appear in one or no works with two points. b) To establish passing, take the lowest score of the authentic compositions in Test Group I and make that the lowest passing score. Then, to establish borderline and failing, take the midpoint between the lowest passing score and the highest score of the Control Group II works and give everything between the midpoint and the lowest passing score to the borderline category and make everything below the midpoint failing.

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[28] The works in Control Group II and Test Group II should be by a wide variety of composers, but also include several pieces that are similar in style to the works of the main composer (pieces by contemporary composers who worked in the same place or influenced the main composer). A proper selection of compositions for these groups makes it unnecessary to examine all contemporaneous works. My previous studies have demonstrated that ten to twenty pieces should be included in each group; any more than twenty greatly increases the work involved without appreciably increasing the reliability of the results.

[29] I should add that it is necessary for one person to do the entire study to insure consistency; scholars analyze aspects of style differently. However, separate studies done by two scholars using a properly-developed stylistic method that is applied consistently and accurately should produce the same conclusions.

*Step 5:* test additional compositions by the main composer (Test Group I) and not by the main composer (Test Group II) against the checklist;
*Step 6:* test the doubtful works.

The above method has proven very reliable in previous studies. In my study on the authenticity of Haydn's early instrumental compositions, only one multimovement work (out of ninety-eight studied) showed conflicting results on the tests. (For one work, two movements passed while a third failed.) Moreover, all non-Haydn movements examined in the study failed the tests (over 400 non-Haydn movements tested), while all authentic Haydn movements passed. Therefore, in the present study, it is statistically remote that a spurious work would pass all three Mozart checklists below or that an authentic Mozart work would fail all three.

## THE TESTS

I developed three checklists to study the authenticity of K16a:
1) fast first movements in 4-4;
2) the first sections of slow movements in 2-4 with repeat signs; and
3) fast finales in 2-4.

Each Control Group I consisted of relevant movements from Mozart's concert symphonies composed between 1764 and 1775, the years that K16a must have been written if by Mozart.[30] I withheld several compositions from Control Group I, so that they could be used in Test Group I. I included at least twenty comparable non-Mozart pieces in each Test Group II, and I tested other doubtful Mozart symphonies with K16a (K42a, K73l, K73q).[31] (On the charts below, works by or attributed to Mozart are designated by their $K^6$ numbers, while non-Mozart symphonies are identified by their opus numbers, *Garland Symphony Series* thematic index numbers, or key.)

## PROFILE I: FAST FIRST MOVEMENTS IN 4-4

The first checklist was for fast first movements in 4-4. Twenty Mozart concert symphonies written before 1778 include such a movement. I withheld five of these symphonies from Control Group I (K19a, K45a, K132, K161a, and K162b)[32] so that they could be used in Test Group I and establish the scoring criteria.

[30] Only one symphony in minor exists in this group (173dB), but my previous studies on authenticity (and an investigation in progress on the chronology of Haydn's early instrumental works, including "The Chronology of Haydn's Early Keyboard Trios: A Method for Determining Chronology by Style," *Journal of Musicological Research* 7 (1987):369–96) have shown that the mode or key of a composition makes no difference on how it scores on the profiles. The authentic group does not include serenades or opera overtures that were adapted as concert symphonies. There is a break in Mozart's symphonic production between 1775 and 78.

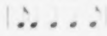
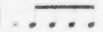
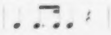
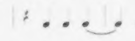
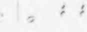
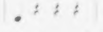
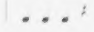
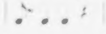
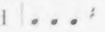
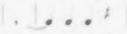
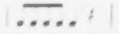
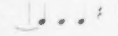
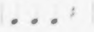
[31] Most Mozart scholars consider K42a questionable and K73l and K73q probably authentic. K73l is also attributed to Leopold Mozart, while K73q is also ascribed to Leopold, Dittersdorf, and others.

[32] I purposely kept K19a and K45a out of Control Group I because they have only recently been established as authentic.

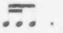
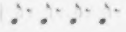
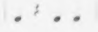
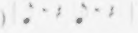
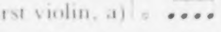
The checklist contained thirteen traits (see Chart 1) with No. 13 weighted double because it appeared in only one of the Control Group II works (maximum score 14). All traits except No. 4 apply only to expositions. Because the lowest a Mozart symphony in Test Group I scored was 12 and the highest a non-Mozart symphony in Control Group II scored was 7 (see Chart 2), I made 12–14 passing, 10–11 borderline, and below 10 failing. (The midpoint between 7 and 12 is 9.5.) All authentic Mozart symphonies in Test Group I passed, while all non-Mozart symphonies in Control Group II and Test Group II failed, demonstrating the checklist's effectiveness in separating authentic Mozart from works by other composers (see Chart 2).

Chart 1. Checklist for Fast First Movements in 4-4

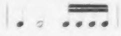
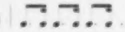
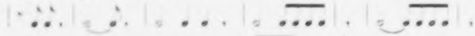
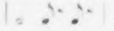
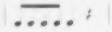
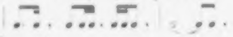
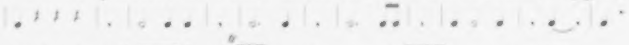
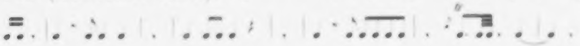
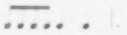
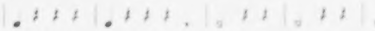
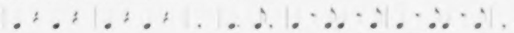
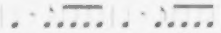
### POSITIVE TRAITS APPEARING IN ALL THE CONTROL GROUP I WORKS

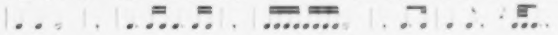
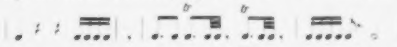
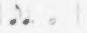
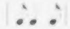
1. a) Nonornamental rhythmic value shorter than a sixteenth and dotted eighth present, and b) opening harmony lasts at least four beats. 40% (Trait present in 40% of Control Group I)
2. Pedal of at least two measures in the first violin or lowest sounding voice other than with the rhythm , but no note sustained longer than four and a half beats in the bass and no more than four consecutive quarter notes on the same pitch in this voice. 60%.
3. a) Does not open with a pickup other than a single eighth or one involving note values shorter than a sixteenth, b) does not use *p*, *sf*, , or dolce, c) an octave leap is not present in the first measure melody, and d) in the first measure bass, a dotted quarter, a whole note,  with x representing any value other than two eighths, , , or pitch pattern 1-3-1 not present. 60%
4. In last measure of movement, a) all voices have  or  (not preceded by quarter or eighth rest), b) three tonic chords with  or  in most voices and , , or  in viola and bass, c) all voices have  or , or d) goes into next movement without stop. 40%

### NEGATIVE TRAITS APPEARING IN NONE OF THE CONTROL GROUP I WORKS

5. a) Uses clarinets or independent bassoons, or b) tempo marking other than allegro or allegro with molto, con brio, maestoso, assai, or spiritoso. 40% (Trait present in 40% of Control Group I)
6. In bass, a) two consecutive sixteenths when not doubled by viola, , consecutive sixteenths on the same pitch, or more than eight consecutive sixteenths, b) whole notes in consecutive measures, except when they are separated by more than a sixth, or c) a whole note in the first four measures. 40%
7. a) Unison-octave opening lasting more than three measures, b) thirty-second notes or more than one consecutive sixteenth in the first four measures in the bass, c) bass pattern  in the first twelve measures, d)  in bass in first sixteen measures, or e)  in bass. 40%
8. In first violin, a) , b) in first ten measures triplet eighths or sixteenths or more than three triplet sixteenths in a row anywhere, d) in first twelve mea-

sures or two thirty-seconds present at the beginning of a beat in first four measures, or d) in first sixteen measures. 40%

9. In first violin, a) more than two unsyncopated half notes in a row, b) in first sixteen measures, c) in first two measures, more than four consecutive sixteenths, except when involving repeated notes or when it is an accompaniment, or , or d) . 60%
10. In bass, a) chromaticism in first three measures, b) more than six half notes in a row, c) , or , or c) in first four measures bass  with repeated notes. 70%
11. In the first measure of the first violin, a) more than six eighths, three quarters, or two sixteenths in a row (except when only sixteenths or repeated notes) b) triplet sixteenths, unornamented dotted quarter, or whole note, or c)  (unornamented),  , or . 50%
12. In first sixteen measures in the bass, , , or . 50%

*13. a) In first violin, a)  , or , b) in first twenty measures or , c) three- or four-note chords in the first violin as an accompaniment with some other voice clearly having the melody, d) both thirty-seconds and thirty-second triplets present in first two measures, e) note sustained longer than two measures and a beat, or f) most melodies just sixteenth notes. 90%; weighted with two points.

All traits except for No. 4 apply only to the exposition.
*trait weighted double.

Chart 2. Results for Profile I

A. Control Group I: Non-Mozart Symphonies
Abel op. 1, no. 6: 7 (f)
Adlgasser 121: 7 (f)
Albrechtsberger 4: 6 (f)
J.C. Bach op. 6, no. 5: 7 (f)
Gassmann Hill 26: 7 (f)
J. Haydn 49/II: 6 (f)
M. Haydn 40: 5 (f)
Le Duc 2: 6 (f)
Vanhal I1: 5 (f)
Wagenseil E3: 7 (f)

B. Test Group I: Authentic Mozart Symphonies
19a: 13 (p)
45a: 12 (p)
132: 12 (p)
161a: 12 (p)
162b: 12 (p)

C. Test Group II: Non-Mozart Symphonies
Abel op. 1, no. 1: 8 (f)
Anfossi D36: 8 (f)
Auman 1: 6 (f)
J.C. Bach op. 6, no. 6: 8 (f)
Bárta G1: 8 (f)
Kammel D: 7 (f)
L. Mozart[1]: 7 (f)
Mysliveček D: 8 (f)
Ordoñez I:G1: 6 (f)
Orlowski 1: 8 (f)

| | |
|---|---|
| Berlin D2: 8 (f) | Paradeiser 2: 7 (f) |
| F.X. Dušek F7: 8 (f) | Rosetti F1: 8 (f) |
| Eberlin G1: 4 (f) | Sammartini 6: 8 (f) |
| Gassmann Hill 64: 7 (f) | C. Stamitz op. 13, no. 6: 6 (f) |
| J. Haydn 39: 8 (f) | Zechner Q:C2: 6 (f) |
| J. Haydn 44: 8 (f) | *C11.02: 8 (f) |
| Holzbauer op. 4, no. 1: 8 (f) | *C11.04: 9 (f) |
| D. 16a and Other Doubtful Mozart Symphonies | |
| 16a: 5 (f) | 73l: 12 (p) |
| 42a: 9 (f) | 73q: 13 (p) |

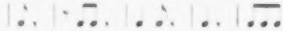
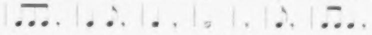
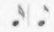
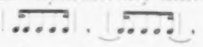
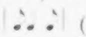
Passing 12-14, borderline 10-11, failing below 10.
*formerly attributed to Mozart, 1 Sinfonia Burlesca, p = pass, f = fail.

### PROFILE II: THE FIRST SECTIONS OF SLOW MOVEMENTS IN 2-4 WITH REPEAT SIGNS

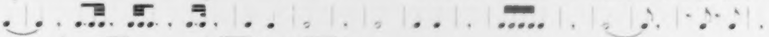
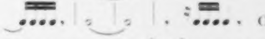
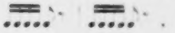
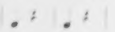
I made the second checklist for the first part of slow movements in 2-4 with repeat signs. I based it on fifteen authentic works, with six other authentic pieces (K19a, K43, K73m, K124, K173da, and K186b) reserved for Test Group I. Eleven traits formed the checklist (see Chart 3) with Nos. 7 and 10 receiving two points because they didn't appear in Control Group II. 10-13 was passing, 8-9 borderline, and below 8 failing. (8 is the midpoint between 5 and 11.) All authentic Mozart symphonies passed the checklist, while all non-Mozart symphonies failed (see Chart 4). The second movement of K16a failed with a score of 5 (see Chart 4).

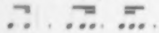
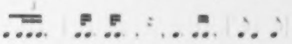
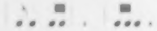
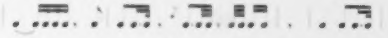
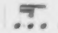
Chart 3. Checklist for the First Sections of Slow Movements in 2-4 with Repeat Signs

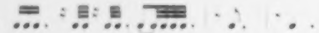
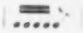
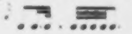
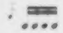
POSITIVE TRAITS APPEARING IN ALL THE CONTROL GROUP I WORKS

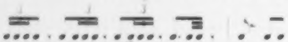
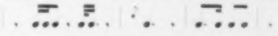
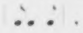
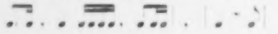
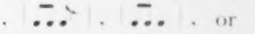
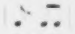
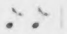
1. a) Uses tempo markings andante, andantino, or andantino grazioso and does not use dolce, b) begins piano or with no dynamic, and c) employs an eighth rest in bass, but does not begin with a sixteenth rest in any voice. 30%
2. a) Bass rhythm in final measure of section  or followed by rests or next section or bass not present in final measure, b) 8-5-1 not final bass notes, and c) first violin rhythm in final measure of section  rest  followed by rests or next section and d) no trills present. 40%
3. At least four real voices present (four rhythmically different parts) for at least a measure and accompaniment patterns , and  (at least two consecutive measures, not in melody or first violin) not present. 50%
4. a) Range in bass in first two measures an octave or less, and in first eight measures between a seventh and a seventh plus an octave, b) range of first violin in first two measures between a second and a ninth, and in first eight measures at least an octave, and c) first bass note between G and c'. 60%

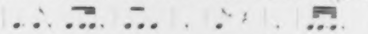
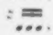
### NEGATIVE TRAITS APPEARING IN NONE OF THE CONTROL GROUP I WORKS

5. In bass, a) more than two half notes, nine quarter notes, thirty-two sixteenth notes or six thirty-second notes in a row, b) more than six sixteenths in first two measures, c) dotted quarter or dotted eighth in consecutive measures or more than twice in section, d)   or  . e)  in first eight measures, or f) three consecutive repeated pitches using quarters or bass patterns with eighths like g-G-f-F or g-G-d-D. 70%
6. a) In first violin, half note or more than ten consecutive eighth notes without a change of dynamics or articulation, b) double-stops in either violin in first measure or chromaticism in first six measures of first violin, or c) viola not present in first three measures. 50%

*7. In first measure melody, a) more than four sixteenths or one quarter in a row, b) note tied over the barline, more than three triplets unless just triplets,   not preceded by a pickup,   or  . c) perfect octave, a trill on a quarter note or longer, or begins with a rest, d) four eighth notes ascending or descending stepwise, or e) a change of dynamics in first two measures. 100%: weighted with two points.

8. In first violin, eighth note triplets, ornament or   , sixty-fourth note,  . or  (the ornament can be on any note). 50%
9. a) Uses 𝄐, *mf*, or *ff*, b) crescendo, decrescendo or equivalents present, c) octave-unison passage in all voices present for more than two beats, d) bass drops out for more than eight and a half beats, or e) triple stops used in first violin. 50%

*10. In penultimate measure of section, a) first violin has more than one quarter or two eighths in a row, trill, more than one sixteenth rest,   . or  . b) bass has thirty-seconds, more than one quarter note, note tied over the barline, half note,   or  . c)  in all voices, or d) a change of dynamics in this measure. 100%: weighted with two points

11. In first measure bass, a) more than four sixteenths or three eighths in a row, b) quarter note triplet, half note,  or  c) first measure in bass all the same pitch when it has more than one note and note values other than eighths, or d) first two measures in bass just eighths (no rests) or first five notes in bass all quarters. 50%

*trait weighted double.

Chart 4. Results for Profile II

A. Control Group I: Non-Mozart Symphonies

Abel op. 1, no. 3: 3 (f)
Adlgasser 121: 5 (f)
Albrechtsberger 4: 5 (f)
M. Haydn 17: 3 (f)
Ordoñez C14: 3 (f)
Vanhal Em1: 3 (f)

Gassmann Hill 62: 5 (f)
J. Haydn 50: 3 (f)
Wagenseil E3: 3 (f)
Zechner Q:C1: 4 (f)

B. Test Group I: Authentic Mozart Symphonies
19a: 10 (p)
43: 12 (p)
73m: 10 (p)
124: 10 (p)
173da: 10 (p)
186b: 10 (p)

C. Test Group II: Non-Mozart Symphonies
Abel op. 1, no. 1: 6 (f)
Adlgasser 124: 3 (f)
Auman 1: 5 (f)
Bárta G1: 6 (f)
Boccherini op. 21, no. 5: 6 (f)
Brunetti 20: 5 (f)
Collett op. 2, no. 5: 5 (f)
F.X. Dušek F7: 6 (f)
J.A. Fisher 5: 6 (f)
Gassmann Hill 23: 6 (f)
M. Haydn 20: 6 (f)
Kammel D: 6 (f)
Kraus VB 128: 6 (f)
L. Mozart G: 6 (f)
L. Mozart Bb: 6 (f)
Piscator 2: 6 (f)
Rosetti F1: 4 (f)
Saint-Georges 7: 6 (f)
Sammartini 18: 4 (f)
Schneider Q:C1: 6 (f)
C. Stamitz op. 13, no. 5: 6 (f)
Wagenseil Bb4: 6 (f)
*C11.02: 5 (f)
*C11.04: 6 (f)

D. 16a and Other Doubtful Mozart Symphonies
16a: 5 (f)
73l: 11 (p)

passing 10-13, borderline 8-9, failing below 8.
*formerly attributed to Mozart.

## PROFILE III: FAST FINALES IN 2-4

The last checklist was for fast finales in 2-4. Eleven authentic works contain such a movement; I withheld two of them (K74 and K124) for Test Group I. I created a checklist of twelve items (see Chart 5) with Nos. 7 and 9 weighted with two points. Passing was 11-14, borderline 9-10, and failing 8 and below. (8.5 is the midpoint between 6 and 11.) K74 and K124 passed, while all non-Mozart symphonies failed (see Chart 6). Again, K16a failed.

Chart 5. Checklist for 2-4 Finales

POSITIVE TRAITS APPEARING IN ALL THE CONTROL GROUP I WORKS

1. a) Tempo markings allegro or presto sometimes with molto or assai and b) begins forte. 40%
2. Last measure in first violin |♩ 𝄽| and in bass |♩ 𝄽| or bass absent, and last bass note between G and d. 50%
3. a) Triple stops used in first violin, b) at least four consecutive quarters present in bass and eighth notes employed in bass, and c) no note sustained longer than two measures at beginning. 60%
4. a) Range of bass in first two measures an octave or less and in first eight measures between a fourth and a sixth plus an octave (unless bass absent completely), b) range of first violin in first two measures (not including pickups) between a fourth and a fifth plus an octave and in the first eight measures between a seventh and two octaves, and

c) first bass note between A and d' and bass goes at least as high as d in first measure (unless bass absent in first measure). 60%

5. Opening harmony lasts at least two beats and the first note in the melody is the tonic. 50%

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**NEGATIVE TRAITS APPEARING IN NONE OF THE CONTROL GROUP I WORKS**

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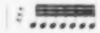
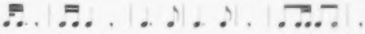
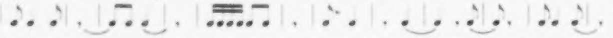
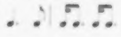
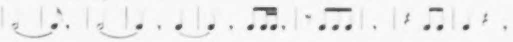
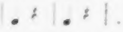
6. In penultimate measure, a) first violin includes sixteenths, thirty-seconds, a half note, dotted rhythms, ornaments, rests, or a leap larger than a ninth, b) bass includes sixteenths, a half note, or a dotted note, or c) in any voice . 50%

*7. a) In first measure in the first violin, more than one consecutive sixteenth, a dotted quarter, thirty-seconds, triplets, rests, any ornament, three repeated notes not including a pickup, or three or more descending stepwise eighths, b) begins with a pickup other than or , c) nondiatonic note in first four measures of melody, or d) unison-octave opening for more than one and a half measures or only one pitch class in melody of first three measures. 90%: weighted with two points.

8. In first violin, a) more than two consecutive thirty-seconds other than  or b) sixteenth triplets, trill on a half note,  , or . 70%

*9. In bass, a) more than two consecutive sixteenths, b) dotted quarter, thirty-seconds, , or bass pattern on eighths with every second note being a pedal and with the pedal note being higher than the preceding note (ex. G-g-A-g) or pattern on quarter notes alternating octaves down then up for more than one measure (ex. f-F-f-F), or c) in first five measures . 90%: weighted with two points

10. a) First measure in bass includes more than four notes, a rest (other than a quarter or half rest), half note, note tied over the barline, sixteenth notes, or is preceded by a pickup other than a single quarter, or b) first ten notes in bass quarters without rests. 50%

11. a) Uses mf, pp, decrescendo, dolce, or equivalents or b) only one part present in first measure or viola not present in entire movement. 80%

12. More than one dynamic in first two measures or uses fp or tenuto in these measures, or b) first four measures in melody include more than two sixteenths, one half note, or eight eighths in a row. 40%

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*trait weighted double.

Chart 6. Results for Profile III

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A. Control Group I: Non-Mozart Symphonies

| | |
|---|---|
| Abel op. 1, no. 2: 5 (f) | M. Haydn 20: 6 (f) |
| Adlgasser 121: 3 (f) | Le Duc 2: 4 (f) |
| Albrechtsberger 5: 6 (f) | Novotny 2: 6 (f) |
| J.C. Bach op. 6, no. 4: 5 (f) | Paradeiser 4: 5 (f) |
| Gassmann Hill 26: 6 (f) | Rosetti F1: 6 (f) |

B. Test Group I: Authentic Mozart Symphonies

| | |
|---|---|
| 74: 11 (p) | 124: 13 (p) |

C. Test Group II: Non-Mozart Symphonies

| | |
|---|---|
| C.P.E. Bach Wq 183, 2: 3 (f) | M. Haydn 40: 4 (f) |

J.C. Bach op. 18, no. 1: 7 (f)
Bárta G1: 7 (f)
Beck op. 4, no. 1: 7 (f)
Brunetti 9: 3 (f)
Eichner op. 7, no. 5: 5 (f)
Gassmann Hill 86: 6 (f)
Golabek D1: 3 (f)
Gossec op. 8, no. 2: 3 (f)
J.E. Hartmann 1: 4 (f)
J. Haydn 42: 5 (f)
Monn D: 7 (f)
L. Mozart D: 5 (f)
Naumann C: 6 (f)
Orlowski 1: 7 (f)
Richter op. 4, no. 5: 6 (f)
Sammartini 19: 5 (f)
Toeschi op. 3, no. 3: 7 (f)
Wagenseil D: 5 (f)
*C11.04: 6 (f)

D. 16a and Other Doubtful Mozart Symph[illegible]
16a: 4 (f)
42a: 7 (f)
7[illegible] (p)

Passing 11–14, borderline 9–10, failing below 9.
*formerly attributed to Mozart. p = pass, f = fail.

## CONCLUSION

K16a failed all three checklists. Because it is statistically remote that an authentic symphony would fail all three, one may conclude that K16a is not by Mozart.[33]

Because the attribution in the Odense source is Signor Mozart, one might conjecture that the symphony is by Mozart's father. However, the symphony is even less in Leopold's style than that of his son.[34] It is hard to imagine Leopold writing the *Sturm und Drang* opening movement. While there is another unrelated Mozart (Philip Kajatan), it is probable that the Mozart attribution is a mistake. The Zaslaw-Eisen article mentions several possibilities for K16a's composer: Daniel Heartz believes he is probably French, a German working in France, or a Frenchman working in Germany; Zaslaw is reminded of George Anton Benda and Joseph Martin Kraus; and Sadie thinks it might be North German.[35]

While my tests prove that Mozart could not have written K16a, a major problem remains: informing and convincing the general public. It is highly unlikely that there will be a front-page article in the *New York Times* or a cable television program announcing that K16a is not by Mozart. Moreover, even when a work is proven spurious, the ascription to a famous composer tends to endure.[36] Hopefully, in the future, journalists and musicologists will be more careful in establishing a work's authenticity before proclaiming a major new discovery.

[33] I also concluded that K73l and K73q were authentic, while K42a is spurious.

[34] Zaslaw and Eisen, 204–5, also concluded that the symphony is not by Leopold Mozart.

[35] *Ibid.*, 206.

[36] For example, when I was looking through recordings of Haydn's works, I found numerous pieces attributed to Haydn that were definitely not by him, including recordings of the op. 3 string quartets, op. 5 flute quartets, a flute concerto, an oboe concerto, a number of wind divertimentos, the Feldparthien that include the one based on the "St. Anthony Chorale," and the "Echo" divertimento. Spurious works formerly attributed to Pergolesi similarly are still recorded and performed under his name.

# Program and Sonority: An Essay in Analysis of the "Queen Mab" Scherzo from Berlioz's *Romeo and Juliet*

BETH SHAMGAR

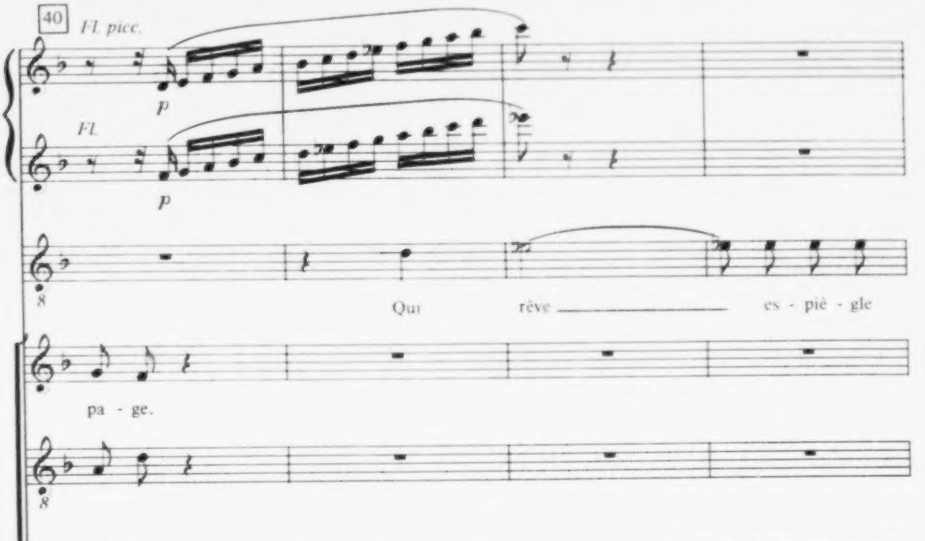
THOUGH UNIVERSALLY CELEBRATED FOR ITS ORCHESTRAL EFFECTS, the "Queen Mab" Scherzo from Berlioz's *Romeo and Juliet* has otherwise attracted little attention in the literature on Berlioz. On the contrary, the airy wit of Berlioz's scoring has been understandably regarded as the *raison d'être* of the Scherzo, together, of course, with its traditional symphonic role as a dance-like third movement.[1] Once we probe beneath the surface of the orchestration, however, this movement raises a number of questions concerning the scope and nature of Berlioz's aesthetic aims. Was Berlioz's programmatic intent more precise than that of painting a generalized portrait of the miniature fairy queen? Does his orchestration serve more than just an evocative purpose in the overall scheme of this movement? Given its function as a dance movement, how is the Scherzo organized? Does Berlioz follow some kind of Scherzo-Trio-Scherzo formula? The following analytical essay will attempt to answer these three interrelated questions by exploring the confluence of program and sonority in this movement.

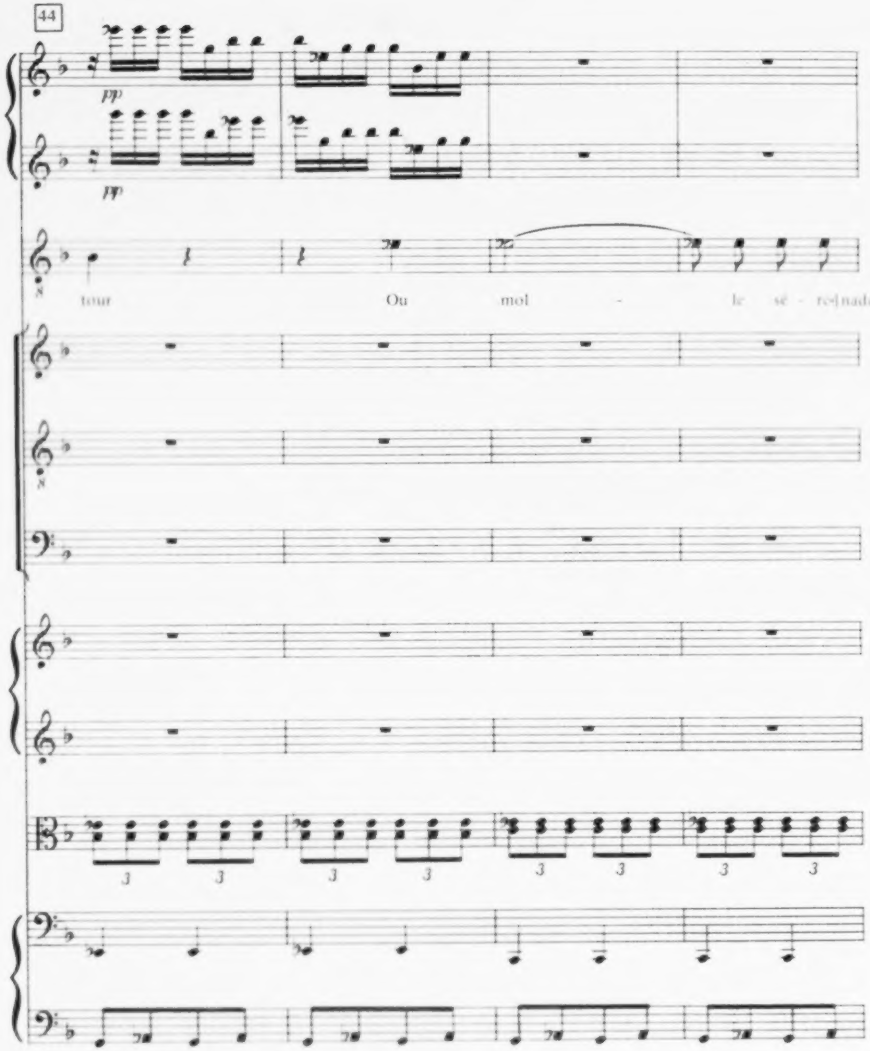
It is generally acknowledged that the Prologue to Berlioz's *Romeo and Juliet* affords the listener direct access to his musical aims during the rest of the symphony. Thus, the Scherzetto of the Prologue, for example, prefigures several central and rather obvious features of the "Queen Mab" Scherzo: its delicate orchestral web; its F-major tonic; fragments of its main theme; and even its 3-8 surface rhythm.[2]

[1] See, for a typical example, A. E. F. Dickinson, *The Music of Berlioz* (London: Faber and Faber, 1972), 146, or Hugh MacDonald, *Berlioz* (London: Dent, 1982), 119, where he writes, "The scherzo (La reine Mab) . . . is Berlioz's supreme exercise in light orchestral texture, *prestissimo* and *pianissimo* almost without pause. The scoring is extraordinarily inventive . . . ." Berlioz himself unwittingly contributed to this tradition. When talking about this movement, he invariably mentioned the orchestration, usually because of the performance difficulties it caused. See *The Memoirs of Hector Berlioz*, trans. and ed. David Cairns (London: Victor Gollancz, 1969), 311, 340.

[2] Even these more obvious interrelationships between the Scherzetto in the Prologue and the Scherzo movement often pass unremarked. Dickinson, *The Music of Berlioz*, 148, treats the Scherzetto as material heard once, i.e., as without meaningful connection to the later movement; or again, MacDonald, *Berlioz*, 117: ". . . the foretasted scherzo [i.e. the Scherzetto in the Prologue] is not the same as the fourth movement (except the final flourish); it is a 'scherzino' or 'scherzetto' (Berlioz used both titles) in 2-4, with the tenor soloist and semi-chorus giving a deliciously light picture of the Queen of Dreams. . . ."

Example 1. Berlioz, *Romeo and Juliet*, Scherzetto from the Prologue, mm. 40–47. Orchestral, harmonic, melodic, and rhythmic foreshadowing of the "Queen Mab" Scherzo.


40
Fl. picc.
p
Fl.
p
Qui rêve es - piè - gle
pa - ge.
3 3 3 3 3 3 3 3


44
pp
pp
tour
Ou
mol - le sé - re[nade]
3

The Scherzetto also contains, however, structural references to the later movement, insofar as its text suggests a possible architectural blueprint for the Scherzo to come. This hidden formal agenda becomes immediately apparent when we compare

Shakespeare's original description of Queen Mab (I.iv) with the text of Emile Deschamps, Berlioz's librettist.[3]

Example 2. A comparison of Shakespeare's and Berlioz's texts.[4]

(Shakespeare)
*Mercutio:* O then I see Queen Mab hath been with you:
She is the Fairies' midwife, and she comes
In shape no bigger than an agate-stone,
On the forefinger of an alderman,
Drawn with a team of little atomies,
Over men's noses as they lie asleep:
Her waggon-spokes made of long spinners' legs:
The cover, of the wings of grasshoppers,
Her traces of the smallest spider's web,
Her collars of the moonshine's watery beams,
Her whip of cricket's bone, the lash of film,
Her waggoner, a small grey-coated gnat,
Not half so big as a round little worm,
Prick'd from the lazy finger of a maid.
Her chariot is an empty hazel-nut,
Made by the joiner squirrel or old grub,
Time out o' mind, the Fairies' coachmakers:
And in this state she gallops night by night,
Through lovers' brains, and then they dream of love,
On courtiers' knees, that dream on court'sies straight,
O'er lawyers' fingers who straight dream on fees,
O'er ladies' lips who straight on kisses dream,
Which oft the angry Mab with blisters plagues,
Because their breaths with sweetmeats tainted are.
Sometimes she gallops o'er a courtier's nose,
And then dreams he of smelling out a suit:
And sometime comes she with a tithe-pig's tail,
Tickling a parson's nose as a' lies asleep,
Then he dreams of another benefice.
Sometime she driveth o'er a soldier's neck,
And then dreams he of cutting foreign throats,
Of breaches, ambuscadoes, Spanish blades:
Of healths five fadom deep, and then anon
Drums in his ear, at which he starts and wakes,
And being thus frighted, swears a prayer or two

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[3] We do not know enough about the details of Berlioz's collaboration with Deschamps to gauge the extent to which the changes in the Shakespearean text are a direct reflection of Berlioz's own suggestions. It is also possible that these changes derive from the Garrick version of *Romeo and Juliet* upon which the tomb scene was based and which was not available to the present author for purposes of comparison.

[4] The Shakespeare text is taken from *The Penguin Shakespeare*, ed. G. B. Harrison (London: Wyman and Sons, 1937). The Berlioz is translated from the French by John Bernhoff and appears in the Kalmus miniature score of *Romeo and Juliet* (Kalmus Miniature Scores 502).

And sleeps again: this is that very Mab
That plats the manes of horses in the night:
And bakes the elf-locks in foul sluttish hairs,
Which once untangled, much misfortune bodes.
This is the hag, when maids like on their backs,
That presses them and learns them first to bear,
Making them women of good carriage:
This is she.

(Berlioz)
Mab, that tiny fairy, so light and so wary.
Her waggon's cut from a hazelnut.
And Master Squirrel was the cartwright,
The traces from the smallest spider's web are wrought
And in this state the fay on the moon's silver ray,
She gallops night by night, thro' lovers' brains and haunts them.
They dream on court'sies straight,
Of sweetest serenade,
Beneath the stars' soft silv'ry light.
Then her mad ride she doth continue
Hastes away nor tarries nor bides
O'er a soldier's neck oft she rides.
And then he dreams of battle,
Where swords 'gainst helmets rattle,
Beat of drums, bugle calling
Then he wakes and glares around,
Swears he heard the trumpet's sound, then turns him o'er
And sleeps until the dawn of morning.
Queen Mab, 'tis she, whose gambols caused all this uproar.
'Tis she again in dreams doth call,
The maid of seventeen summers,
And leads her back to th' ball.
Hark! When the cock crows and the day breaks,
Mab starts her steed.
And off she goes.

(Berlioz)
Mab, la messagère
Fluette et légère!
Elle a pour char une coque de noix
Que l'écureuil a façonnée;
Les doigts de l'araignée
Ont filé ses harnois.
Durant les nuits la fée en ce mince équipage
Galope follement dans le cerveau d'un page,
Qui rêve espiègle tour
Ou molle sérénade,
Au clair de lune, sous la tour.
En poursuivant sa promenade,
La petite reine s'abat

Sur le col bronzé d'un soldat.
Il rêve canonnades
Et vives estocades,
Le tambour, la trompette.
Il s'éveille, et d'abord
Jure, et prie en jurant toujours, puis se rendort
Et ronfle avec ses camarades.
C'est Mab, c'est Mab qui faisait tout ce bacchanal.
C'est elle encor qui dans un rêve habille
La jeune fille
Et la ramène au bal.
Mais le coq chante, la jour brille;
Mab fuit comme un éclair
Dans l'air.

Even a brief glance at the two versions discloses major differences between the texts. Berlioz's librettist tightened the opening description of Queen Mab and her chariot. He also reduced Shakespeare's list of dreamers to a pair of lovers and a soldier, adding, however, a direct reference to Juliet in the form of a new dreamer—a maid of seventeen summers. Furthermore, Deschamps interpolated short passages between the dreams, which depict Mab continuing on her journey and which identify her as the cause of all the uproar. Lastly, he introduced a closing line relating the flight of Queen Mab at the approach of dawn. Taken together, these changes lend the Berlioz text the following overall format:

Description of Queen Mab
Dream 1: The Lovers
Queen Mab Continues Her Ride
Dream 2: A Soldier
Identification of Queen Mab as Culprit
Dream 3: A Maid of Seventeen Summers
Flight of Queen Mab

If we substitute the terminology of a symphonic dance movement, this organizational scheme brings to mind the following plan:[5]

Scherzo
Trio 1
Scherzo
Trio 2
Scherzo
Trio 3
Scherzo

---

[5] This interpretation differs sharply from the usual assumption that the movement is organized in a simple Scherzo-Trio-Scherzo pattern. See Dickinson, *The Music of Berlioz*, 150-51. Interestingly, MacDonald comments on a "genial snore on horn and bassoons" evoking the lines "Athwart men's noses as they lie asleep" (119). He does not, however, develop this line of thought. Furthermore, in discussing the programmatic role of the Trios, we should not overlook Berlioz's own subtitle for this movement—"The Fairy of Dreams."

Musical confirmation of this formal blueprint may be found in the Scherzo movement itself, primarily in the patterning of the orchestration but also in the shaping effect of Berlioz's textures, range, and dynamics. The structural significance Berlioz attaches to orchestration in particular reflects typically Romantic priorities, where coloristic gestures may take on broad-scale architectural import. Viewed from the vantage point of orchestral color, the third movement falls into distinct sections, once again corresponding to a Scherzo with alternating Trios:

mm. 1-377: predominance of light, divided strings
mm. 378-441: flute plus English horn against string harmonics
mm. 442-98: return of opening sonority
mm. 499-685: orchestration gradually expanding from isolated horn calls to a broad span reaching from low bassoons to high antique cymbals
mm. 686-730: return of opening sonority
mm. 731-51: alternation of sustained tones in strings with wind chords
mm. 752-93: final return of opening sonority

Other aspects of the total sound reinforce this orchestrally determined architecture. For example, from the start of Trio 1 (m. 378) the dynamics recede, the range contracts, the tessitura remains high, and a fragile, highly transparent sound is projected. Berlioz organizes these same parameters in a contrasting manner during Trio 2 (mm. 499-685). Here a long crescendo combined with unfolding range and an increasingly intricate textural web direct the flow of musical events. In Trio 3 (mm. 731-51), Berlioz plots yet another sonic course in contradistinction to both the Scherzo and each of the previous Trios. Dynamics drop back and groups of instruments call to one another in chordal antiphony.

A process of continual cross-fertilization between program and sonority, however, seems to persist in this movement, so that each new insight into one element enriches our understanding of the other element. More specifically, once we are aware of the Scherzo-Trio alternation and the function of the Trios as dream sequences, it then becomes clear that Berlioz marshalls the orchestral nuances of each Trio to establish the identity of his dreamers. He achieves this programmatic goal not only by means of conventional orchestral gesture, but also by means of his own highly evolved language of orchestral symbolism. The military connotations of the horn calls in the second Trio (the soldier's dream) as well as the orchestral crescendo depicting the noise of battle and drum are self-explanatory. Less immediately apparent, but for Berlioz equally explicit, references may be found in the first Trio describing the lovers' dream. The unusual combination of flute and English horn represents a direct allusion to the same orchestration appearing during one of the episodes in the Love Scene (II: mm. 250-273), where Berlioz presented this highly memorable sonority against a rippling string accompaniment.[6]

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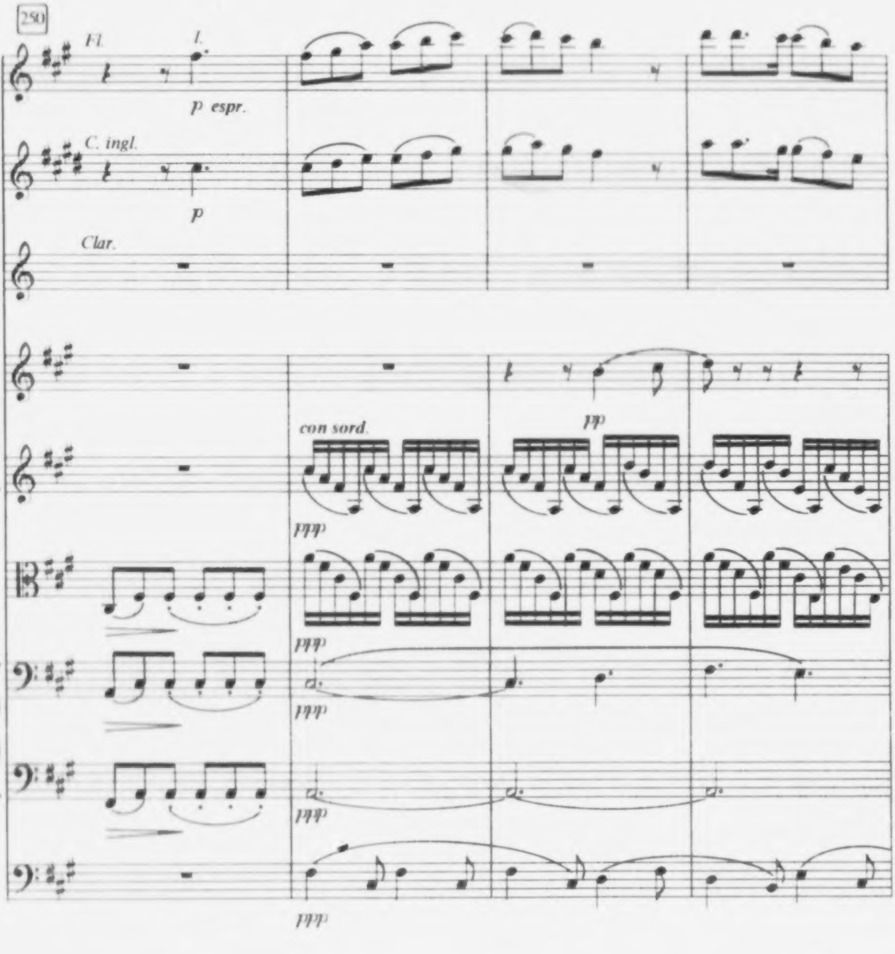
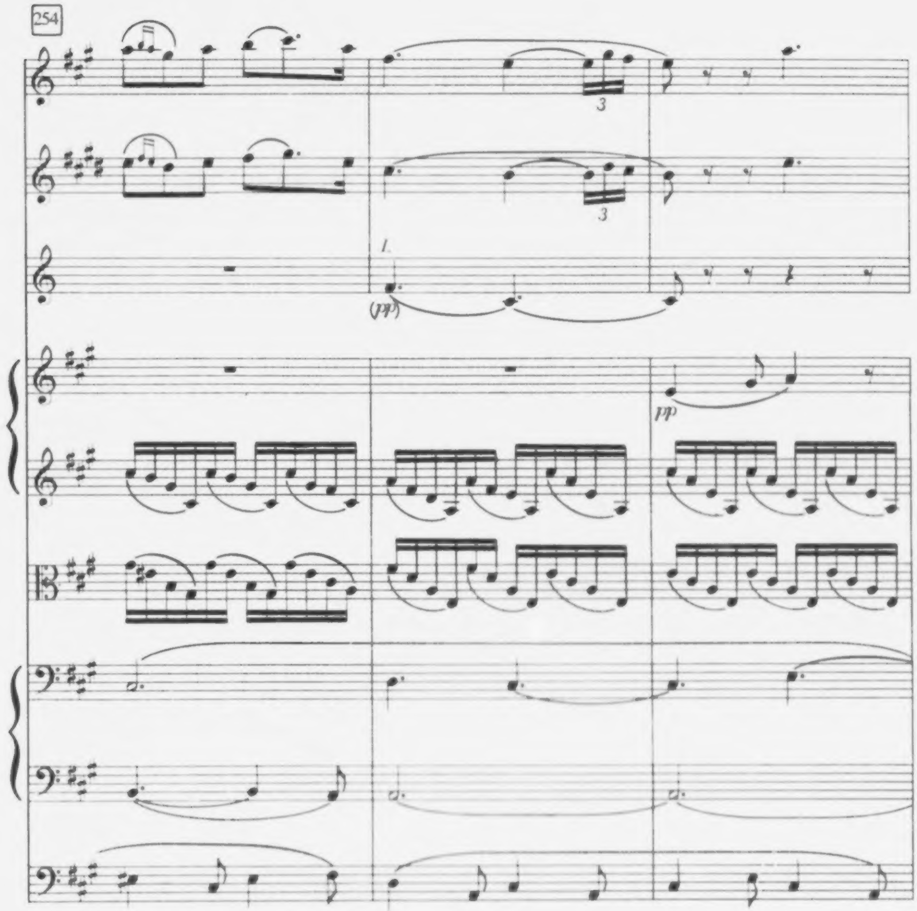
[6] The third Trio does not seem to convey any specific orchestral references, although the antiphonal exchange in strings and winds, coupled with the frequent fermatas, may possibly refer to the orchestral sound at the end of the Love Scene (see II, mm. 375-89).

Example 3. Berlioz, *Romeo and Juliet*, Love Scene, mm. 250–256: flute and English horn against a string accompaniment.


250
Fl.
I.
p espr.
C. ingl.
p
Clar.
con sord.
pp
ppp



Berlioz's *Treatise on Instrumentation* (1844) clarifies still further the logic of his orchestral choices. He writes with regard to the English horn, for example, that its timbre is appropriate for scenes one step removed from reality—such as dreams or recollections:

> Its tone, less piercing, more veiled and heavy than that of the oboe, does not lend itself so well to the gaiety of rustic melodies. Nor can it express passionate laments; tones of keen grief are scarcely within its range. Its tones are melancholy, dreamy, noble, somewhat veiled—as if played in the distance. It has no equal among the instruments for reviving images and sentiments of the past if the composer intends to touch the hidden chords of tender memories.[7]

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[7] Hector Berlioz, *Treatise on Instrumentation*, enlarged and revised by Richard Strauss, trans. Theodore Front (Melville: Kalmus, 1948), 184.

Or elsewhere, in connection with the significative power of harmonics in the violins, Berlioz cites the dream-like aura they can create:

> The harmonics on the other strings other than the fourth string which has a flute-like character become increasingly more delicate and soft as they rise in pitch. This, as well as their crystalline sound, makes them especially appropriate for those chords which may be called fairy-like: harmonic effects which fill our imagination with radiant dreams and conjure the most delicate images of a poetic, supernatural world.[8]

Taking a step back from the symbolism of Berlioz's orchestral detail, we find that he has ordered the long-range plan of this movement so that the three Trios described above recur in a progression of decreasing independence. The first Trio stands out as the most discrete of the three: the shift in tonality from F major to d minor/D major, the new thematic idea, and the changes in tempo and meter clearly mark the start of a new section.[9] Similar departures from the Scherzo in both harmony and melody (a modulation to C major coincides with the entry of the horn motives) also signal the beginning of the second Trio. Here, however, the boundary-line between Scherzo and Trio is less sharply etched, because Berlioz continues the eighth-note surface rhythm of the Scherzo well into Trio 2 and also because he repeats the initial motive of the Scherzo precisely at the point where the Trio begins.

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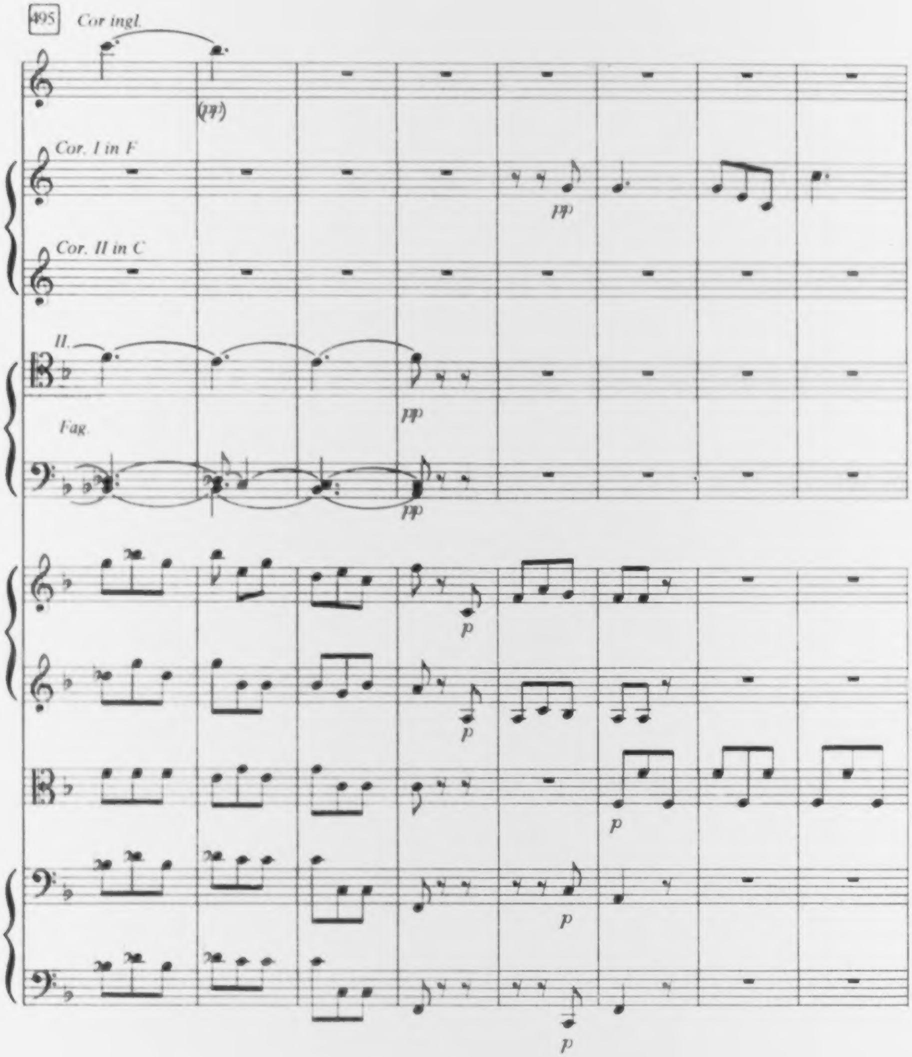
[8] Berlioz, *Treatise on Instrumentation*, 29.

[9] In an interesting study of Berlioz's use of rhythm, Philip Friedheim suggests that Berlioz associated different meters with different emotional states. According to Friedheim, 3-8 signifies the impish and playful, while 3-4 (which Berlioz introduces at the start of the first Trio) expresses more intense and passionate feelings. See Philip Friedheim, "Berlioz and Rhythm," *Music Review* 37 (1976):5–44.

Example 4. Berlioz, *Romeo and Juliet*, "Queen Mab" Scherzo, mm. 495–511: the partially disguised opening border of the second Trio.


495
Cor ingl.
(pp)
Cor. I in F
pp
Cor. II in C
II.
pp
Fag.
pp
p
p
p
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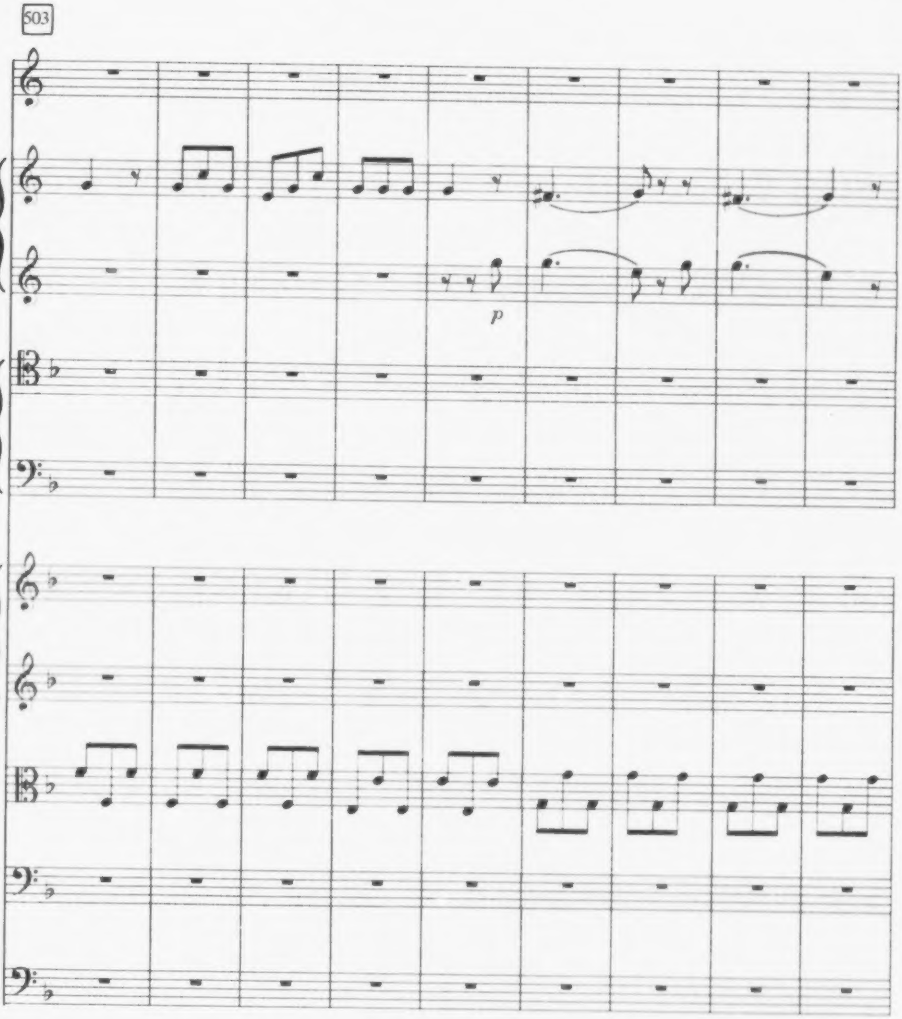
p



Least distinct of all is the boundary at the beginning of the third and final Trio. The gradual ritard and the decrease in dynamics make this brief Trio vague in identity. In many ways, it seems little more than a momentary slowing before Mab's frantic rush to escape the dawn.

Yet again, structural events carry programmatic implications. On a macrolevel, the built-in asymmetry deriving from the changing lengths and the diminishing independence of the Trios heightens the helter-skelter feeling of Queen Mab's nocturnal visits. Locally, although the Scherzos retain palpable vestiges of rounded binary form, each Trio follows a free formal scheme:

Example 5. Berlioz, *Romeo and Juliet*, "Queen Mab" Scherzo. The formal scheme of the Scherzos and Trios.

| | | | | | |
|---|---|---|---|---|---|
| SCHERZO 1 | | | | | |
| A<br>1–57 | A¹<br>57–150 | B(A)<br>151–254 | B¹(A)<br>255–357 | CODA<br>357–365 | TRANS.<br>365–377 |
| TRIO 1 | | | | | |
| C<br>378–394 | C¹<br>395–412 | C²<br>413–427 | C³<br>428–441 | TRANS.<br>442–454 | |
| SCHERZO 2 | | | | | |
| A²<br>454–498 | | | | | |
| TRIO 2 | | | | | |
| D<br>499–685 | | | | | |
| SCHERZO 3 | | | | | |
| A³<br>686–730 | | | | | |
| Trio 3 | | | | | |
| 731–751 | | | | | |
| SCHERZO 4 | | | | | |
| A⁴<br>752–793 | | | | | |

Apparently the predictable layout of traditional dance-movement form seemed less than appropriate to dream sequences.

The confluence of program and sonority outlined in the present paper represents more than just a passing phase or chance occurrence in Berlioz's style.[10] Varied applications of this same combination, raising sonority to a level of structural significance, may be found in other works, offering equally rich analytical rewards to the curious explorer.

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[10] This specific formula ($S\ T^1\ S'\ T^2\ S''\ T\ S'''$), with Trios of varying length and clarity, does not appear in Berlioz's two earlier symphonies—the *Symphonie fantastique* and *Harold in Italy*. In the former work, the dance movement is organized in an ABA-plus-Coda plan, and in *Harold* as an S T S T-plus-S arrangement. Since Berlioz's formal schemes are always clearly attuned to the changing programmatic content of his works, this structural variety is not surprising.

# Stephen Foster and His Publishers, Revisited

STEVEN SAUNDERS

MORE THAN FIFTY YEARS HAVE PASSED since John Tasker Howard's biography *Stephen Foster, America's Troubadour* and his article "Stephen Foster and His Publishers" appeared.[1] *America's Troubadour* remains—half a century after it was written—the authoritative biography of nineteenth-century America's most renowned songwriter, and his article is still among the fullest treatments of the dealings between an American composer and his publishers. Perhaps Howard's greatest contributions to Foster biography were his deft reconstruction of the composer's financial affairs and the attendant dismantling of several popular misconceptions about the composer, particularly the pernicious myth that Foster was victimized by unscrupulous and avaricious publishers. This return visit with Foster and his publishers focuses not on the financial, but on the artistic—principally on publishers' attitudes toward the musical content of Foster's compositions: How faithful were Foster's publishers to the texts that they received from him? Did they edit or arrange his works? How much artistic control did they allow the composer once his manuscript was in their hands? Was Foster able to correct proofs? Was he allowed to make post-publication changes or revisions to his songs? Renewing our acquaintance with Foster and his publishers furnishes new perspectives on the workings of the American music publishing trade, on Foster's working habits, on his image of himself as composer, and dispels several remaining myths about Stephen Foster.

The autograph of "Open Thy Lattice, Love," Foster's first published composition (Philadelphia: George Willig, 1844), offers the earliest glimpse of his dealings with publishers.[2] The manuscript is not a *Stichvorlage* (a fair copy used as a model by the engraver), but an early sketch, covered with deletions and revisions.[3] Despite these, however, the young composer's piano accompaniment remains awkward and amateurish: the right-hand figuration changes nearly every other bar, the left hand is filled with thick, closely spaced chords, and the voice-leading is often rough.

[1] John Tasker Howard, *Stephen Foster, America's Troubadour* (New York: Crowell, 1934); page numbers in citations below refer to the revised edition (New York: Crowell, 1953). John Tasker Howard, "Stephen Foster and His Publishers," *Musical Quarterly* 20 (1934):77–95.

[2] The present location of the manuscript is unknown; it was reproduced in Evelyn Foster Morneweck, *Chronicles of Stephen Foster's Family* (Pittsburgh: University of Pittsburgh Press, 1944), facing p. 267. Willig's earliest edition of the song is reproduced in the *Foster Hall Reproductions: Songs, Compositions and Arrangements by Stephen Collins Foster, 1826–1864* (Indianapolis: Josiah Kirby Lilly, 1933).

[3] The exact date of the sketch is not known. Morrison Foster, perhaps following Robert Peebles Nevin, claimed that "Open Thy Lattice, Love" was composed when his brother was sixteen; see Morrison Foster, *Biography, Songs & Musical Compositions of Stephen C. Foster* (Pittsburgh: Percy F. Smith, 1896), 13; and Robert Peebles Nevin, "Stephen C. Foster and Negro Minstrelsy," *Atlantic Monthly* 20 (1867):612. The song was actually composed somewhat later; the source of Foster's text is a poem by George Pope Morris published under the title "Serenade" in *The New Mirror* 2 (October 14, 1843):32. Thus Foster, who was born July 4, 1826, was at least seventeen when the song was written, and the sketch cannot predate the publication of the song by much more than a year.

Willig's published piano part bears little resemblance to Foster's sketch; it has been considerably reworked into an idiomatic, if conventional, accompaniment. The melody, however, is virtually unchanged.

The contrast between manuscript and print suggests that the accompaniment was rearranged by someone other than the young Foster, a fact that tends to support an unfortunate and commonly held view of the composer: that his fluent genius for uniting memorable melody with resonant poetic images masked a limited technical mastery of musical composition.[4] One persistent theory, for which there is little corroborative evidence, is that Foster regularly submitted his songs to Henry Kleber, a prominent Pittsburgh musician, for editing and revision. In fact, Louis P. Kleber, Henry Kleber's nephew, claimed to know (more than eighty-five years after the fact) the specific note that his uncle changed in "Old Folks at Home."[5] Another tradition holds that Foster's publishers made revisions and improvements to Foster's music.[6] Several challenges to the conventional wisdom have been mounted recently, based on an increasing understanding of Foster's place in the American popular scene of mid-century. Charles Hamm has suggested that Foster had a broad knowledge of the song literature of his day, and that the simplicity of his style was a matter of deliberate choice, not the result of insufficient technical skill, while Kathryn Reed-Maxfield has noted an "overriding concern and skill for the craft of songwriting" in Foster's minstrel songs.[7] As we shall see, there are other reasons to question the received wisdom on Foster; while the youthful composer of "Open Thy Lattice, Love" may have received some editorial assistance, the songs of the mature Foster needed no such rewriting.

At times publishers offered Foster practical suggestions, as Firth, Pond & Co. did in a letter of 12 September 1849 marking the beginning of the firm's long and fruitful contractual relationship with Foster.

> From your acquaintance with the proprietors or managers of the different bands of "minstrels," & from your known reputation, you can undoubtedly arrange with them to sing them & thus introduce them to the public house, it is safe to hand such persons printed copies only, of the pieces, for if manuscript

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[4] See for example Howard, *America's Troubadour*, 116, 188–89, 194–95; Harvey Gaul, *The Minstrel of the Alleghenies* (Pittsburgh: Friends of Harvey Gaul, [1952]), 18–19; Harold Vincent Milligan, *Stephen Collins Foster: A Biography* (New York: G. Schirmer, 1920), 96–97, 110–14; *Grove's Dictionary of Music and Musicians*, 5th edition, ed. Eric Blom (New York: St. Martin's Press, 1955), 3:456.

[5] Letter from Louis P. Kleber to Fletcher Hodges, Jr., February, [1939], now in the Foster Hall Collection, University of Pittsburgh.

[6] Morneweck, *Chronicles*, 451–52.

[7] Charles Hamm, *Yesterdays: Popular Song in America* (New York: Norton, 1979), 201–27, and *Music in the New World* (New York: Norton, 1983), 231–35; Kathryn Reed-Maxfield, "Emmett, Foster, and Their Anonymous Colleagues: The Creators of Early Minstrel Show Songs," paper read at the national meeting of the Sonneck Society, Pittsburgh, 4 April 1987.

Foster had at least a minimal knowledge of music theory; see for example his letter in the 26 February 1853 issue of the *Musical World*, quoted in Howard, *America's Troubadour*, 220–22, which discusses the resolution of the seventh and the correct doubling of chord tones. His academic musical training, though limited, was usually more than sufficient to the genres in which he worked. He demurred at demands for more complex scores, refusing, for example, his sister's request for an organ work (see Howard, *America's Troubadour*, 131, and Morneweck, *Chronicles*, 286.

> copies are issued particularly by the author, the market will be flooded with spurious issues in a short time.
>
> It is also advisable to compose only such pieces as are likely both in the sentiment & melody to take the public taste. Numerous instances can be cited of composers whose reputation has greatly depreciated, from the fact of their music becoming too popular, & as a consequence they write too much & too fast, & in a short time others supersede them.[8]

Foster, incidentally, heeded both pieces of advice from his new business associates. He stopped giving copies of songs to minstrel performers before publication (a practice which had indeed resulted in a number of unauthorized editions of his early songs), and in composing was carefully attentive to sentiment and melody—those very qualities which seem the source of his songs' enduring ability to "take the public taste."[9]

Foster, in turn, offered his publishers suggestions, even demands, concerning artistic matters. During the 1850s he vigilantly oversaw the publication of his works, down to the smallest detail in their presentation.[10] He may, in fact, have learned about the need for such oversight from the printing of "Open Thy Lattice, Love." Willig's earliest copies of the song name the composer as L. C. Foster; later copies printed by W. C. Peters from the original plates correctly identify the then-obscure songwriter as "S. C. Foster."

Two communications from the early 1850s confirm the composer's involvement in the publication process early in his career. A communication in the "To Correspondents" column of the February 1850 issue of the *Baltimore Olio*, a musical periodical published by W. C. Peters, reveals that Foster asked for changes to songs even after they had been printed:

> "S.C.F" Pittsburgh.—It is too late to make the alteration as you requested. It is very popular in its present state. The Soiree P——a will appear next week.

The alteration was probably intended for "Summer Longings," the only Foster song printed by Peters in the year and a half before the appearance of the February issue of the *Olio*.[11] ("The Soiree Polka," the work which the notice says "will appear next week," was entered for copyright on 12 February 1850.) Ironically, "Summer Longings," which Peters had deposited for copyright on 21 November 1849, was reprinted in the February 1850 issue of the *Baltimore Olio*—the same issue that contained his communication to Foster. The reprint, despite the publisher's note to Foster that he could not accommodate the requested change, shows several significant musical differences from the original version of the song. However, on stylistic grounds the changes seem improbable for Foster,[12] and the numerous changes in the *Olio* do not accord with the specific reference to a single alteration in Peters's "To Correspondents" column. Furthermore, although there is no direct evidence as to who undertook the alterations, such changes by Peters, made without the composer's consent, would not be surprising given his house practices and temperament.[13]

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[8] Letter now in the Library of Congress, ML 95 .F8 Case.

[9] Indeed these two facets of musical creation occupied him most as he revised and polished his songs; on Foster's working methods, see note 22 below.

[10] In his financial dealings with publishers, too, Foster seems to have retained considerable control. John Tasker Howard pointed out that Foster may have been able virtually to dictate the terms of his contracts with Firth, Pond & Co. See *America's Troubadour*, 244.

[11] Peters entered "Away Down South," "Susanna," "Uncle Ned," and "Santa Anna's Retreat from Buena Vista" for copyright on 30 December 1848. Peters's advertisements in Louisville and Cincinnati newspapers for 1847–49 show, however, that these songs had been issued by the summer of 1848. See the critical reports for these songs in *The Complete Works of Stephen C. Foster*, ed. Steven Saunders (Washington: Smithsonian Institution Press, in press).

Foster was more successful with another request for changes, though nonmusical ones, made at about the same time. On 23 February 1850 Foster wrote to the minstrel performer E. P. Christy:

> Dear Sir:
>
> Herewith I send you copies of two of my late songs "Gwine to run all night," and "Dolly Day." I regret that the title-page had been ordered, and probably cut before I was informed of your desire that your name should not be used in connection with other bands. I have accordingly ordered my publisher in Baltimore to have a new title page cut bearing the name of your band alone like that used by Messrs. Firth, Pond & Co. N. Y. . . .[14]

Foster's order was carried out; later copies of title pages on Foster songs published by F. D. Benteen, his publisher in Baltimore, refer exclusively to the Christy Minstrels, dropping references to the Campbell Minstrels and to the New Orleans Serenaders.[15]

Further information about Foster's demands for such changes can be gleaned from his autograph *Stichvorlagen*. Of the twenty known musical holographs of Stephen Foster, seven (see Table 1) are *Stichvorlagen*; the others are sketches, presentation copies for friends, or copies of songs which Foster gave to minstrel performers.[16]

Table 1: Holograph *Stichvorlagen* of Stephen C. Foster

| TITLE | PUBLISHER | DATE OF COPYRIGHT ENTRY |
|---|---|---|
| 1. Oh! Boys, Carry Me 'Long | Firth, Pond & Co. | 25 July 1851 |
| 2. Where Has Lula Gone? | Firth, Pond & Co. | 7 September 1858 |
| 3. Sadly To Mine Heart Appealing | Firth, Pond & Co. | 28 December 1858 |
| 4. Linda Has Departed | Firth, Pond & Co. | 1 March 1859 |
| 5. For Thee, Love, For Thee | Firth, Pond & Co. | 10 June 1859 |
| 6. The Wife | Firth, Pond & Co. | 9 February 1860 |
| 7. Where is Thy Spirit, Mary? | George Mercer, Jr. | 9 December 1895 |

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[12] See the critical report for this song in *The Complete Works of Stephen C. Foster*.

[13] Richard D. Wetzel, private communication to Steven Saunders, 25 August 1985. I am grateful to Dr. Wetzel for information about W. C. Peters's activities as music publisher.

[14] Letter from Stephen C. Foster to E. P. Christy now in the Library of Congress, ML 95 .F8 Case.

[15] For a fuller discussion of this incident and descriptions of the title pages before and after the changes, see Howard, *America's Troubadour*, 179–82.

[16] This total of twenty autographs does not include a handful of musical sketches in Foster's manuscript book—a book usually reserved for reworking words of songs, nor musical autographs which are lost.

There are two surviving autographs for "Oh! Boys, Carry Me 'Long": the first, the Firth, Pond & Co. *Stichvorlage*, the second, a copy that Foster sent to minstrel performer E. P. Christy.[17] Comparison of the *Stichvorlage* and print based on it suggests that by 1851, Foster needed no help from his publishers in preparing his music. Firth, Pond & Co.'s earliest edition follows the manuscript faithfully—even slavishly observing its often idiosyncratic punctuation and capitalization. (There was little standardization in such matters for dialect songs.) In offering a nearly identical copy of the song to E. P. Christy for performance,[18] Foster noted that "this song is certain to become popular, as I have taken great pains with it." Writing to Christy again one week later, he demanded that the minstrel performer "preserve the harmony in the chorus just as I have written it, and practise the song well before you bring it out."[19] Foster, despite his lack of extensive first-hand knowledge of the minstrel stage,[20] displays an astonishing degree of self-confidence and artistic surety, pressing his demands for the harmonies of his score to be preserved exactly. Soon Foster would be pressing similar demands on his publishers.

No *Stichvorlagen* are known to survive from the early to mid-1850s, the years of Foster's rise to preeminence among American popular songwriters, yet we have evidence of Foster's continuing involvement in the publication process in the form of two early printed copies of "My Old Kentucky Home." The first was deposited—atypically for Firth, Pond & Co.—without a title page, on 11 January 1853. About three weeks later, on 31 January 1853, they deposited another copy of the song, complete with title page.[21] The reason for this exceptional double copyright deposit doubtless lies in the substantial differences between the two songsheets, even though both were printed from the same plates. The caption title on the earlier copy reads "My Old Kentucky Home," while on the 31 January copy, it is "My Old Kentucky Home, Good-Night!" In the later copy dotted rhythms lend a sharper profile to the rhythm of the final line, and a significant revision appears in the piano coda.

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[17] Both manuscripts are in the Huntington Library, San Marino, California; they share a single call number, HM 16511.

[18] The only significant difference between the two manuscripts is in the words of verse 4. Foster's *Stichvorlage* begins "Farewell to de hills," while the manuscript he sent to Christy begins "Farewell to de fields."

[19] Both letters, the first dated 12 June 1851, the later dated 20 June 1851, are in the Huntington Library, San Marino, California.

[20] For instance, Foster confessed in his letter to E. P. Christy of 23 February 1850 that he had never heard the minstrel performer's band. More than a year later, in the letter of 20 June 1851, he admitted not knowing whether Christy's minstrels used a piano, or had a tenor who could sing up to g with ease.

[21] Both copies of "My Old Kentucky Home" are among the early copyright deposits in the Library of Congress. The earlier copy is in M1 .A12 Vocal, v. 54; the later copy is in M1 .A12 Vocal, v. 57.

Figure 1a. "My Old Kentucky Home," mm.30-36. Proof copy deposited 11 January 1853
(original partially illegible)

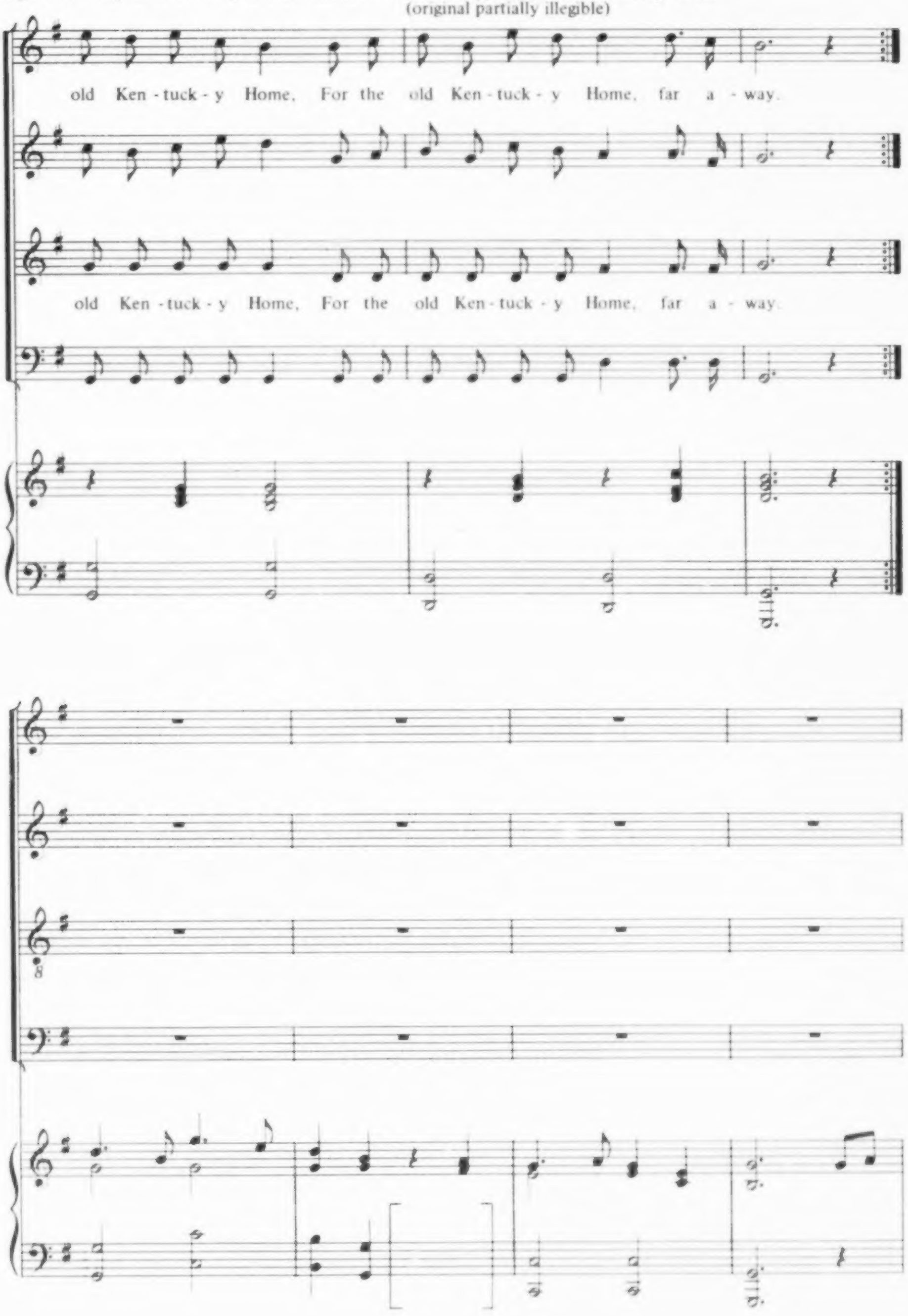
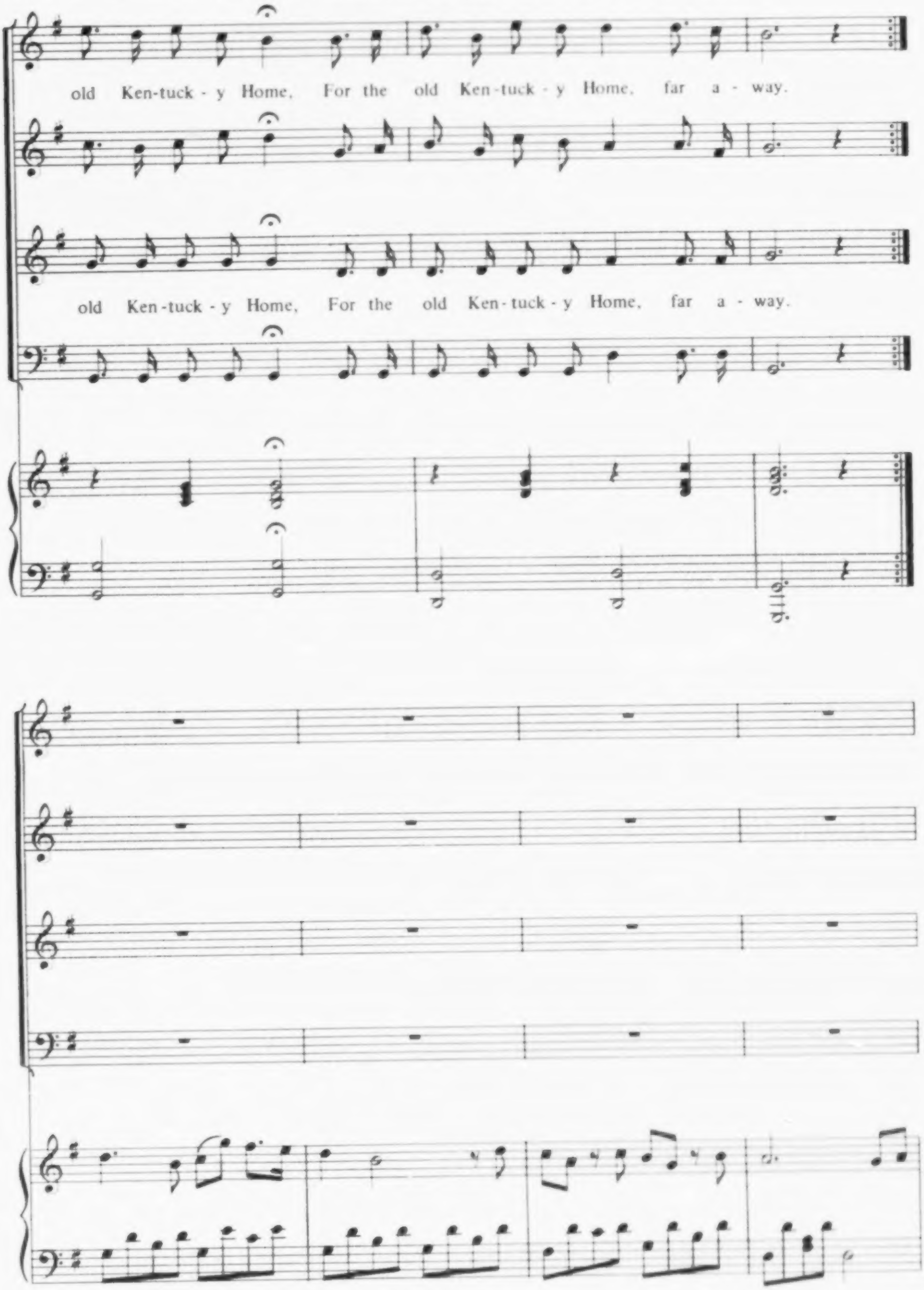

old Ken - tuck - y Home, For the old Ken - tuck - y Home, far a - way.
old Ken - tuck - y Home, For the old Ken - tuck - y Home, far a - way.
8

Figure 1b. **"My Old Kentucky Home,"** mm. 30-36. Later copy deposited 31 January 1853.


old Ken-tuck - y Home, For the old Ken-tuck - y Home, far a - way.
old Ken-tuck - y Home, For the old Ken-tuck - y Home, far a - way.

Both the rhythmic changes and the new piano coda are almost surely by Foster. The attempt to observe the length of the vowels in the later reading is certainly far more typical of the composer than the earlier version. And the coda follows a pattern that became something of a formula in Foster's songs published between 1852 and 1855: a suddenly active left hand, frequently an Alberti bass if the meter is duple, accompanies a right-hand melody which begins with a variation on the concluding phrase of the vocal part, or (as here) a variation on one or more of the preceding vocal phrases. The motive for the changes is not entirely clear. The earlier version was probably never intended for public sale; it lacked a title page, several notes in the coda are illegible, and the rhythm in measures 30 and following gives the impression of being incomplete. Moreover, Foster, whatever his limitations as a composer, never offered for public consumption anything like the brutally exposed parallel fifths in the first measure of the original piano coda. Perhaps a preliminary proof of the first version was rushed to the district court merely for the purpose of securing a quick copyright (Foster may have committed another indiscretion in handing out autograph manuscripts), or possibly the first version was based on a sketch which Foster himself intended to replace. Though Foster's precise role in the revisions to "My Old Kentucky Home" are cloudy, he surely had a part in the changes.

In the fall of 1858, when the manuscript of "Where Has Lula Gone?" reached Firth and Pond, Foster was emerging from something of a compositional slump, having published only a handful of compositions in the previous two years; yet he had nearly one hundred compositions in print, including most of his commercially successful and best-remembered songs. He had published almost exclusively with the firm since 1853, and was familiar and comfortable with its working methods; often he prepared manuscripts so as to expedite the publishers' work.[22] For instance, if he submitted additional verses on a separate sheet, he sometimes cued in words from these above the music. About midway through "Sadly to Mine Heart Appealing" Foster cued in "Hush'd have been for many a year" just above the words to the first verse as an aid to the engraver—insurance that the text underlay was proceeding correctly. Similar markings are found in the *Stichvorlage* of "Linda Has Departed." Foster had learned through experience the need for such hints. The first two verses of "Mother, Thou'rt Faithful to Me" end in a rhymed couplet, yet in the earliest printed copies of the song the third verse concludes without the expected rhyme:

> But, warm in affection of sacred hue,
> Mother, mother, thou'rt faithful to me.

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[22] Foster's music script in these *Stichvorlagen*, while not approaching the calligraphic penmanship of his presentation copies, is always neat and legible. There are occasional revisions in these manuscripts; examples include changing the spelling of notes (from g♭ to f♯, for instance), realigning left- and right-hand notes, and correcting copying errors. Only a few of these, however, are significant enough to be called compositional changes. His manuscript book, which he used to rework words of songs, shows that song texts were painstakingly revised and polished; sketches for the words of a single song sometimes were spread over as many as a dozen pages. The few surviving musical sketches suggest that Foster was similarly critical of his music, and revised it carefully before beginning his fair copy for the publisher.

The error, which arose when the engraver mistakenly punched the final words of the second verse at the end of the third, was corrected, and in later copies the final line reads "Mother, mother, thou'rt faithful and true."

Foster also meticulously dictated the items in the caption title, down to the period that Firth, Pond & Co. usually added after the title. Usually the caption title in the early prints follows the layout of his manuscript exactly, even observing the wording Foster had chosen to credit himself, alternating among such different phrases as: "Poetry and Music by Stephen C. Foster," "Words and Music by Stephen C. Foster," or simply "Stephen C. Foster."

Foster even felt comfortable enough to forward an incomplete manuscript for "Sadly to Mine Heart Appealing" to Firth, Pond & Co. His manuscript lacks the piano introduction and coda; instead, the first empty system contains only clefs, key and time signatures, and the tempo indication, "Andante". Similarly, he allotted a blank half-system at the end of the song for the piano's coda. The mystery of the missing measures revolves around Foster's amusing idea of incorporating a Scottish melody into the introduction of this song, a setting of Eliza Sheridan Carey's poem "On Hearing an Old Scottish Melody." A paragraph from Foster's letter to his brother Morrison dated 22 October 1858 explains:

> If you have the book containing scotch melodies I wish you would send it to me, I will return it to you. I have sent to F. P. & Co. the song "Sadly to mine heart appealing" (Lines suggested on hearing an old Scottish melody) and would like to select an old tune for the introductory symphony. If you have not the book probably you can tell me where to find one.[23]

The published version of the song incorporates "Robin Adair," the old Scottish melody Foster selected and arranged to complete the missing introduction and coda.

The engraver added bar lines to divide the manuscript's empty opening system into eight measures, and similarly divided the blank half-system at the end of the song into four measures—doubtless according to instructions Foster had enclosed with the song. These empty measures were numbered and marked for casting off (determining where line and page breaks would occur). He probably proceeded to cut the plates for the main part of the song, and added the "Robin Adair" introduction and coda when a second manuscript containing them arrived. This later manuscript is lost, but if the engraver had had it when he began his casting off, he would hardly have troubled to rule and number the empty measures on the earlier manuscript. In any event, the song was entered for copyright without significant delay, on 28 December 1858, despite Foster's belated search for a suitable Scottish melody (see Table 3 below).

None of Foster's *Stichvorlagen* show evidence of editing or arranging by a house editor. Other than indications for plate numbers, a few instructions to the engraver, and engravers' markings for casting off, they bear no writing not in the composer's hand. Not only do the Foster *Stichvorlagen* lack signs of editorial revision, they show no indication that the music was even checked for mistakes in the early stages of

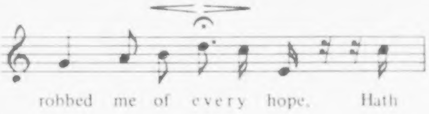
[23] Letter from Stephen C. Foster to Morrison Foster, 22 October 1858, original in the Foster Hall Collection.

the publication process, even though several of the manuscripts contain careless errors and oversights by Foster.

Despite this lack of marking of the manuscripts, there are, in fact, numerous differences between three Foster manuscripts and the Firth and Pond prints. (The other two, "Where Has Lula Gone?" and "Sadly To Mine Heart Appealing," follow Foster's autograph faithfully.) Some of the differences seem to be engravers' sins of omission, usually omissions of performance indications such as slurs, staccato dots, and dynamic markings. Lack of space on the plate may have necessitated some of these. Others may have been due to carelessness or oversight; engravers regularly engraved the music and words first and added performance indications later.[24] Others are minor corrections, evidently made only after proofs had been pulled. Yet there are also more significant differences—differences in notes, rhythms, and words of songs. Most of these changes, including the most significant, were not made by an editor immediately after receiving the manuscript, nor during the initial engraving, but later, after a set of proofs had been pulled from the plates.[25]

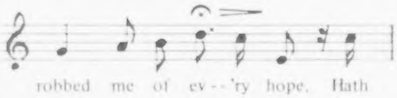
"Linda Has Departed" shows several such proof changes. Foster's autograph has the following reading in measure 6 of the vocal part:

Figure 2a. "Linda Has Departed," m. 6, vocal part, reading of Foster's autograph



Variations in the thickness of the staff lines make clear that this version was engraved on the plates, but that some time after the initial engraving this bar was changed to:

Figure 2b. "Linda Has Departed," m. 6, vocal part, reading after proof changes



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[24] A comparison of proofs of Foster's "Where is Thy Spirit Mary," published in 1895, and the proofs of James Hewitt's "The Music of Erin," published in 1807, shows how little publishing practice changed in this respect during the nineteenth century. The proofs of "Where is Thy Spirit Mary" are in the Foster Hall Collection, University of Pittsburgh; those of "The Music of Erin" are reproduced in Wolfe, *Early American Music Engraving and Printing* (Urbana: University of Illinois Press, 1980), illustration 12.

[25] At places on the plate where a note or symbol does not touch another sign (for instance, dynamic signs or music that lies above or below the staff) a skilled engraver can make such changes undetectable. However, if a change involves symbols on the staff, then the punching and burnishing process will usually require that some staff lines be redrawn. Variations between tools or difficulty in aligning the redrawn line results in staff lines that differ in width, or are not precisely parallel—telltale signs that a plate has been burnished and a change made. For a description of the process see Wolfe, *Early American Music Engraving and Printing*, 78.

A similar alteration to the plates can be seen in measure 23 of the same song.

Figure 3a. "Linda Has Departed," m. 23, vocal part, reading of Foster's autograph

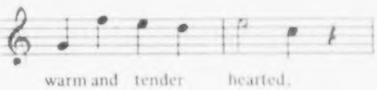
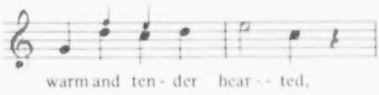


Figure 3b. "Linda Has Departed," m. 23, vocal part, reading after proof changes



The change in measure 6 was probably an attempt to clarify the original notation of the rhythm, and the *ossia* later in the song may have been added to avoid an obligatory high f"—making the chorus more singable (thus salable). These small changes may have been initiated by the publishers for commercial reasons. Another such change, perhaps introduced by the publishers, occurs at the beginning of "The Wife," where Foster's autograph tempo marking "Moderato tempo justa" has been changed to the more conventional "Moderato" in the print. Yet before we conclude that the publishers forced these alterations on an unwitting composer, we need to examine several more examples of proof changes.

In measures 14–17 of the temperance song "The Wife," two words differ between the publishers' manuscript and the earliest print: "And" and "To" (see Table 2, below). These changes were made at the proof stage, after the plates were engraved, since in the earliest known state of the first edition (Foster Hall Collection copy 634.1) these words, unlike other words on the page, are slightly misaligned, and at one spot a small portion of a serif from the letter "T" remains visible beneath the word "And."

The key to the reason for these seemingly insignificant changes lies in Foster's sketches for these lines in his manuscript book.[26] The choice between these same two words lay at the heart of an earlier revision to the words that Foster had made between his manuscript book sketch and the holograph which he later sent his publishers.

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[26] Foster's manuscript book is part of the Foster Hall Collection.

Table 2: Foster's Three Versions of "The Wife"

| Manuscript Book Sketch | Publisher's *Stichvorlage* | FHC 834.1 (after proof changes) |
|---|---|---|
| He's gone to sup | He's gone to sup | He's gone to sup |
| The deadly cup | The deadly cup, | The deadly cup, |
| And while the | To while the | And while the |
| long night through | long night through, | long night through, |
| He's gone to laugh | He's gone to quaff, | He's gone to quaff, |
| To talk and quaff | To talk and laugh | And talk and laugh |
| And while the | To while the | To while the |
| drear night through | drear night through | drear night through:— |

The first reworking may stem, in part, from Foster's attempt to establish a stronger connection between the verbs "talk" and "laugh" by placing them in the same line. Yet his first revision gave rise to an unpleasant threefold repetition of the hard "t" in "to" at the beginnings of lines, and this may have occasioned his subsequent proof changes. Whatever Foster's motivation for the changes, they are all the more revealing precisely for their seeming triviality. In Foster's mind the lowly preposition and conjunction must have loomed large indeed.[27]

More proof changes can be traced directly to Foster. In "For Thee, Love, For Thee" a major difference between *Stichvorlage* and print occurs in measure 25 (and in the analogous bars of the second and third verses); again the change was made to the plates after the original reading had been engraved.[28]

Figure 4a. "For Thee, Love, For Thee," mm. 25–28, reading of Foster's autograph

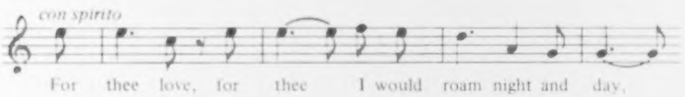
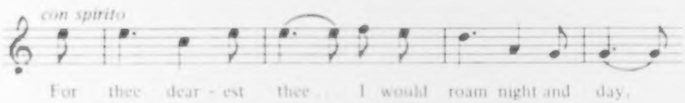


Figure 4b. "For Thee, Love, For Thee," mm. 25–28, reading after proof changes



Again Foster's manuscript book provides the clue to the reason for his changes; the sketches there show a concern with lending variety to the lines beginning with the words "for thee." Variations tried and rejected in the manuscript book include:

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[27] Foster made a similar last-minute change directly on the manuscript of "The Voices That Are Gone," this time involving the words "once" and "then". On this manuscript, see below.

[28] Traces of the earlier reading can be seen clearly even in the *Foster Hall Reproduction*.

For thee love, for thee love
For Thee only thee—
Of thee love, of thee love
With thee only thee
In thee only thee
of thee ever thee—

Foster's change to the words also led to the rhythmic change in the vocal line.

Foster's requests for changes may sometimes have held up the publication of some songs. Although the manuscript of "The Wife" was marked "rec'd Aug. 1/59," the song was not entered for copyright until some six months later, on 9 February 1860.[29] Comparison of Firth, Pond & Co. plate numbers, the numbers which they assigned songs in their "Foster's Melodies" series, and dates of copyright entry indicates that several Foster songs encountered delays in publication.

Table 3: Plate Numbers, Foster's Melodies Series Numbers, and Dates of Copyright Entry for Foster Songs Published by Firth, Pond & Co., April 1858–May 1860

| TITLE | PLATE # | SERIES # | DATE OF COPYRIGHT ENTRY |
|---|---|---|---|
| Lula is Gone | 4395 | 33 | 19 April 1858 |
| Linger in Blissful Repose | 4416[30] | 34 | 13 July 1858 |
| Where Has Lula Gone? | 4443 | 35 | 7 September 1858 |
| My Loved One and My Own | 4484 | 36 | 24 November 1858 |
| Sadly To Mine Heart Appealing | 4492 | 37 | 28 December 1858 |
| Linda Has Departed | 4554 | 39 | 1 March 1859 |
| *Parthenia to Ingomar | 4452 | 38 | 4 April 1859 |
| For Thee, Love, For Thee | 4566 | 40 | 10 June 1859 |
| Fairy Belle | 4604 | 41 | 19 August 1859 |
| Thou Art the Queen of My Song | 4709 | 44 | 21 December 1859 |
| *None Shall Weep a Tear For Me | 4677 | 42 | 9 February 1860 |
| *The Wife | 4705 | 43 | 9 February 1860 |
| Poor Drooping Maiden | 4754 | 45 | 9 February 1860 |
| Cora Dean | 4824 | 47 | no record of copyright |
| Under the Willow She's Sleeping | 4825 | 46 | 3 May 1860 |
| The Glendy Burk | 4861 | 48 | 29 May 1860 |

"The Wife" is one of three songs in Table 2 that bear plate and series numbers that seem conspicuously out of line with the date of copyright entry. In addition to Foster's requests for changes, there may have been other complications during the publication of "The Wife." There are two sets of markings for casting off; the first set shows that the song was originally to have been spread over four pages. The second set of marks corresponds to the way the song was actually cast off, squeezed economically onto three pages. Copies from the earliest edition of "None Shall Weep a Tear For Me," like those of "The Wife," show passages where the staff lines vary in straightness and thickness. Foster's requests for corrections may have been at least contributing factors in these delays.

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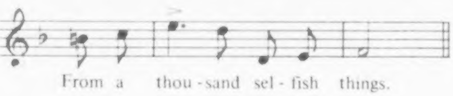
[29] Backlogs at Firth, Pond & Company could cause such delays, too. Foster wrote to E. P. Christy in 1851 that "I have just received a letter from Messrs. Firth, Pond & Co. stating that they have copyrighted a new song of mine ("Oh! boys, carry me 'long") but will not be able to issue it for some little time yet, owing to other engagements. This will give me time to send you the m.s. and allow you the privilege of singing it for at least two weeks, and probably a month before it is issued. . . ." The letter suggests that a delay of even a month in printing a song was hardly typical. Indeed, Foster's publishers could be extraordinarily rapid in bringing out his compositions. Foster made a marginal notation in his sketchbook "sent Laura Lee July 19th." Just over three weeks later, on 7 August 1851, F. D. Benteen deposited a printed copy of "Laura Lee" for copyright.

[30] The plate number on the earliest copies of "Linger in Blissful Repose" is 4116; this was apparently an error, and was changed on later copies to 4416.

There is another type of change that Stephen Foster was able to extract from Firth, Pond & Co. When he arranged his own songs for voice with guitar accompaniment he often made small changes to the melody from the original piano-vocal version.[31] In two cases the changes in the guitar arrangement seem to have so pleased Foster that he asked Firth and Pond to insert them into his previously published versions for voice and piano. The earliest copies of "Little Ella" in the original arrangement for voice and piano have the following reading in measure 23:

Figure 5a. "Little Ella," mm. 23–24, vocal part, reading in the earliest editions of the piano-vocal arrangement



When Foster arranged "Little Ella" for voice and guitar almost one year later, this passage was changed slightly:

Figure 5b. "Little Ella," mm. 23–24, vocal part, Foster's arrangement for voice and guitar

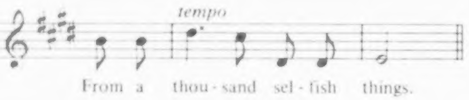
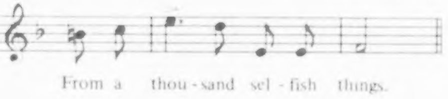


Figure 5c. "Little Ella," mm. 23–24, vocal part, reading of Foster Hall copy 333.3, a later edition of the piano-vocal arrangement



Later copies of the original piano-vocal arrangement incorporate Foster's changes to the cadence figure. The changes were made by punching and burnishing the plates and were made in two stages. In the first stage (represented in Foster Hall Collection copy 333.2) the cadence figure was changed only in verses two and three. A still later copy (Foster Hall Collection copy 333.3) has that change, and rectifies the oversight in the earlier copy, extending the melodic revision to the first verse as well.[32] Foster may have preferred the revised cadence figure since it avoids the mild harmonic clash of the earlier reading, and because it preserves the repeated-note motive that serves as a pick-up to nearly every phrase of the melody. A similar post-publication revision to the melody of "Willie We Have Missed You" arose as the result of the preparation of an arrangement for voice and guitar.[33]

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[31] In contrast, arrangements of Foster songs known to have been prepared by other arrangers nearly always confine their melodic changes to transposing the song into a key suitable for the guitar.

As might be expected, Foster's relations with publishers changed during his final years of near destitution in New York. After 1860 few of his newest creations were commercial successes.[34] No longer did he have contracts guaranteeing a royalty interest in his compositions; he probably sold most of the works of the 1860s outright for cash in hand or against debts. There was little financial incentive for Foster to remain directly involved in the publishing process after receiving his fee, and little reason for publishers to bow to his artistic whims.

The hymns published by Horace Waters, one of Foster's principal publishers from these last years, provide an extreme example. Many of Waters's hymnbooks were produced by "recycling hymns" – reprinting previously published hymns using the same plates employed in an earlier printing. Yet Waters was rarely content simply to reprint a hymn without alteration. He reprinted ten Foster hymns that had first appeared in *Waters' Golden Harp* in his *Athenaeum Collection*.[35] The *Athenaeum Collection* exists in two bibliographically distinct states; among the differences between the two are changes to some of Foster's hymns.[36] Six of these *Athenaeum* hymns were then reprinted in Waters's *Heavenly Echos*.[37] Of the ten original hymns from *Waters' Golden Harp*, only three survived these reprintings without changes. The text of "The Angels Are Singing unto Me," for example, was revised for its appearance in Waters's *Heavenly Echos*; Foster's original words, "And soft winds are roving on the lea," are changed in the later hymnbook to "And soft winds are blowing o'er the lea." Waters's changes were by no means restricted to hymns' texts, more often they involved the notes: there are a dozen such differences between the two versions of "The Beautiful Shore" that appeared in two states of the *Athenaeum Collection*.

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[32] Unfortunately copy 333.2, the first piano-vocal copy to contain the change, does not have any changes in the publishers' address or name or any other revealing changes that would indicate definitely whether the change to the plate was made before or after the preparation of the guitar arrangement. It seems likely, however, that the change came after the guitar arrangement, as a result of Foster's reworking of "Little Ella's" melody. Firth & Pond could scarcely have had a motive for introducing such a minor change to the plates unless it were called to their attention by the composer.

[33] Another type of change to plates which Firth and Pond made is worth noting: post-publication corrections of errors. At least seven Foster songs published by Firth, Pond & Co. had mistakes in the first published copies which were corrected in subsequent impressions.

[34] See the reminiscences of Foster's friend and collaborator George Cooper, recounted in Harold Vincent Milligan, *Stephen Collins Foster: A Biography* (New York: G. Schirmer, 1920), 104, and Howard, "Stephen Foster and His Publishers," 93.

[35] Both New York: Horace Waters, 1863.

[36] The title pages of the two states of the *Athenaeum Collection* are identical. The Library of Congress has both states of the hymnbook: the call number of the earlier state is M2117 .W31 A72, of the later, M2117 .W31 A7.

[37] New York: C. M. Tremaine, 1867. Although Tremaine is listed as the publisher of his collection, Waters was its editor, and the copyright was entered in his name.

Yet unlike earlier post-publication changes, there are a number of reasons to suspect that the publisher, not Foster, was responsible. As we have noted, there was little financial incentive for Foster to press for such changes. Furthermore, Waters's alterations to hymns were not confined to works by Stephen Foster; they also characterize reprintings of hymns by other composers whose works appeared in his hymnbooks.[38] Most of Waters's changes are unlike those we can trace directly to Foster. While Foster's changes involve text, text setting, or the melody of a song, Waters's are usually changes to the pitches of one of the three lower voices. For instance, Foster's "Tell Me of the Angels, Mother" was revised between the printing of the two states of the *Athenaeum Collection*; the single change to the electrotyped plates is an octave displacement of a note in the bass part.

Waters's tampering with Foster's compositions did not cease with Foster's death; some changes to Foster's hymns occur for the first time in *Waters' Heavenly Echos*, published in 1867 – three years after Stephen Foster's death. Horace Waters's protégé and successor, Charles M. Tremaine, carried on this questionable tradition. Among the changes he introduced into his issue of Foster's "Merry Little Birds Are We," published using Waters's plates, are changes of pitches, additions of fermatas and trills, and the following advice to performers at the head of the chorus: "In singing this chorus a fine effect will be produced by having a few boys whistle in imitation of birds."

One final, though quite different, example of posthumous revision of a Foster composition will complete our visit with Foster and his publishers. One other holograph that reached a publisher has survived, though strictly speaking it was not a *Stichvorlage*, the autograph of "The Voices That Are Gone," entered for copyright more than a year after Foster's death, on 13 January 1864, by William A. Pond, one of the principals in Firth, Pond & Co. before its dissolution in 1863.[39] The title page of Pond's edition confirms that the music is by Stephen C. Foster, but with "The Symphonies and Accompaniments by John P. Cooke." Cooke altered the harmony (Foster's original unfolds almost entirely over a C pedal point) and added octave doublings to Foster's piano part. He did not, however, tamper with the melody. The reason Pond engaged Cooke to arrange the accompaniment is unclear; Foster's simple accompaniment is serviceable enough. It does not seem to have been the firm's usual practice; of the five Foster songs published by this firm after the dissolution of Firth, Pond & Co. none of the others has an indication that an arranger was involved. Ironically, the earliest surviving musical manuscript of Foster and his last surviving musical autograph suffered the same fate – revision of the accompaniment by someone other than the composer.

John Tasker Howard showed that Foster was not exploited financially by publishers. The same holds true, at least for much of Foster's career, regarding artistic matters. Stephen Foster, the first American musician to earn a living exclusively through his activity as composer, showed an ability to prevail upon his publishers artistically and to retain a degree of control over the publication of his works that was perhaps unprecedented for a writer of American popular song. The nature of Foster's dealings with publishers, both financial and artistic, reveals a self-assured craftsman, deeply concerned and involved with the form in which his works reached the marketplace. These dealings also suggest that a complex and little understood interaction between publisher, composer, and consumer influenced the form in which popular song reached the parlor pianos of nineteenth-century America; these interrelationships determined, in part, how such music was circulated, performed, and, ultimately, woven into the fabric of American musical life.

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[38] As examples of Waters's changes to other composers' works compare the following titles in his *Athenaeum Collection* and *Golden Harp*: "Come to Me," "God Speed the Right," and "Christmas Carol."

[39] The manuscript (ML 96 .F8 Case) was presented to the Library of Congress in about 1914 by the William A. Pond Company.

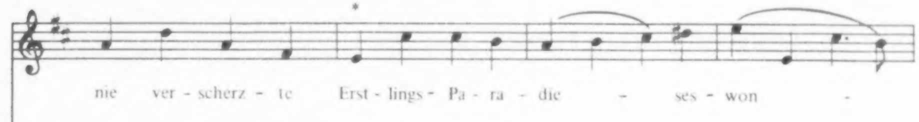
# Tradition and Creation: Hugo Wolf's "Fussreise"

### Christopher Hatch

In a letter of 21 March 1888, Hugo Wolf spoke boastfully about his latest composition: "I retract the opinion that 'Erstes Liebeslied eines Mädchens' is my best thing, for what I wrote this morning, 'Fussreise' (Eduard Mörike), is a million times better."[1] Over the years both critics and audiences have also placed a high valuation on Wolf's "Fussreise" (*Mörikelieder*, no. 10). Yet however masterful and original this song is thought to be, any such nineteenth-century work reuses already existing materials, rethinks ideas already expressed. Locating and designating these materials or ideas in this lied can suggest how it was conceived and how it may be analyzed.

The materials and ideas referred to here are not abstractions, but concrete and complex entities—musical fragments, if you will. The cadence by which "Fussreise" marks an attainment of the dominant (Example 1a) is just such a bit of music; it states the full close in the way many other pieces do (Examples 1b–f). Each of the

Example 1a. Wolf, *Fussreise*, mm. 36–44.


*
nie ver - scherz - te Erst - lings - Pa - ra - die - ses - won - ne.
cresc.
f
etwas ruhiger
Al - so bist du_ nicht
f
sf
p

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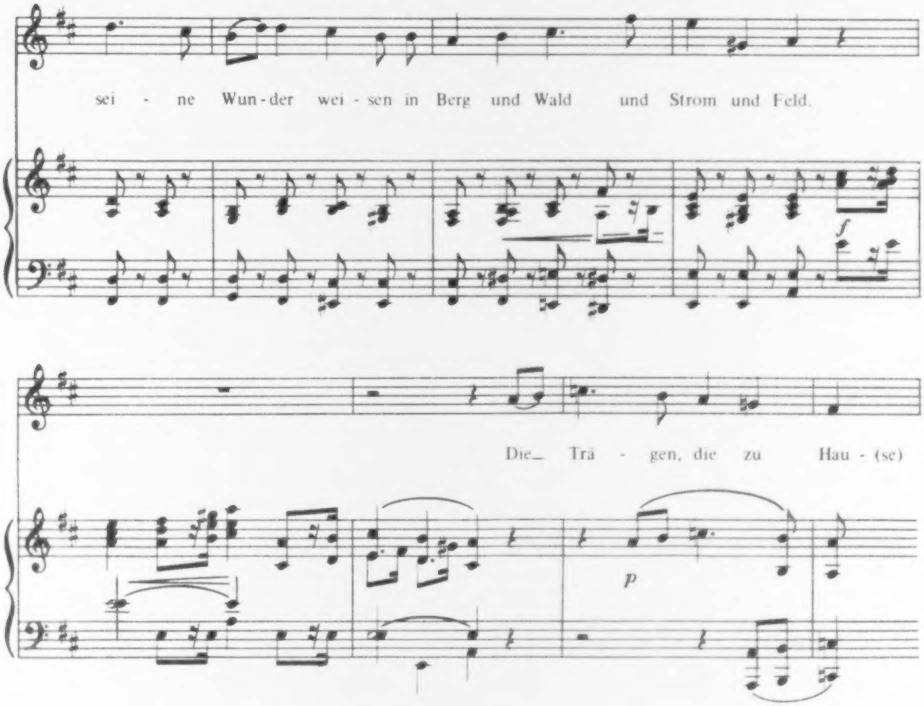
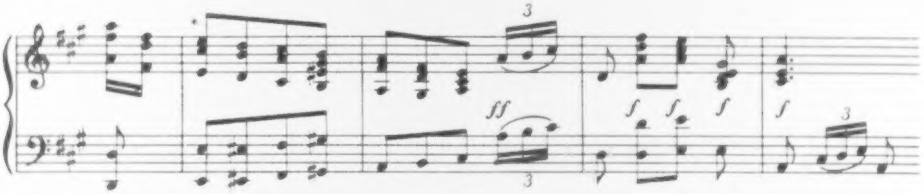
[1] Quoted in Frank Walker, *Hugo Wolf: A Biography*, 2d ed. (London: Dent, 1968), 205.

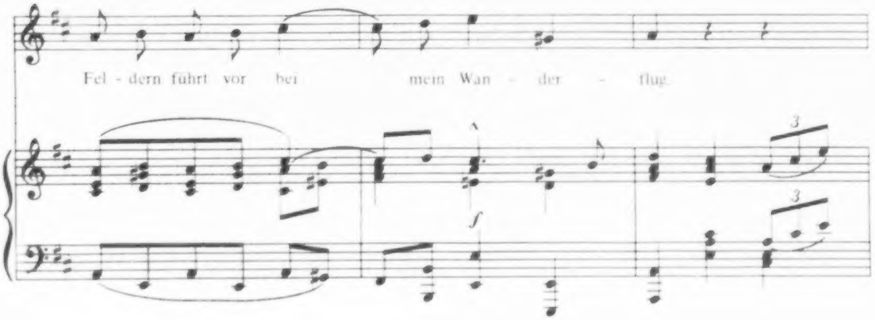
Example 1b. Schumann, Opus 77 No. 1, *Der frohe Wandersmann*, mm. 7–14.


sei - ne Wun-der wei - sen in Berg und Wald und Strom und Feld.
f
Die_ Trä - gen, die zu Hau - (se)
p

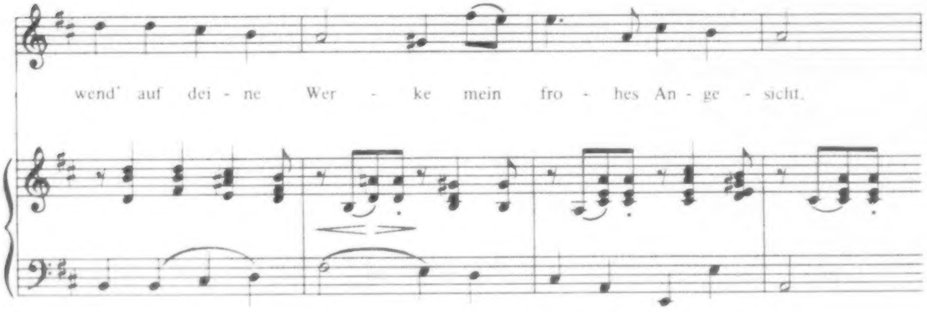
Example 1c. Schumann, Opus 68 No. 17, *Kleiner Morgenwanderer*, mm. 17–20.



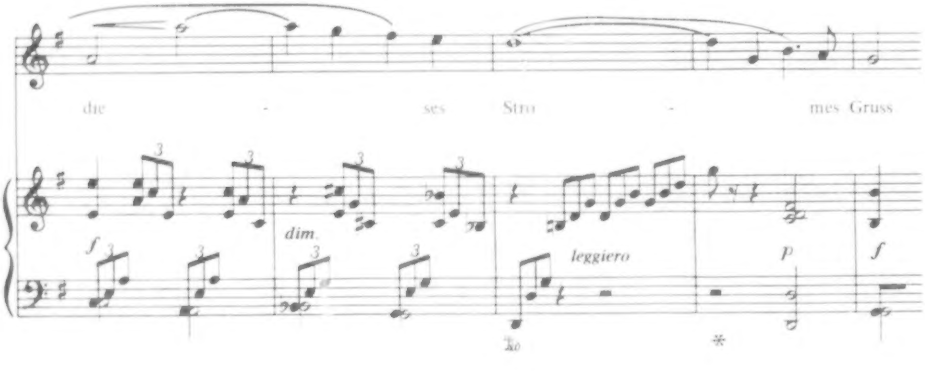
Example 1d. George Henschel, Opus 17 No. 2, *Wanderlied*, mm. 8–10.


Fel - dern führt vor bei mein Wan - der - flug.
3
f
3

Example 1e. Mendelssohn, Opus 86 No. 2, *Morgenlied*, mm. 7–10.

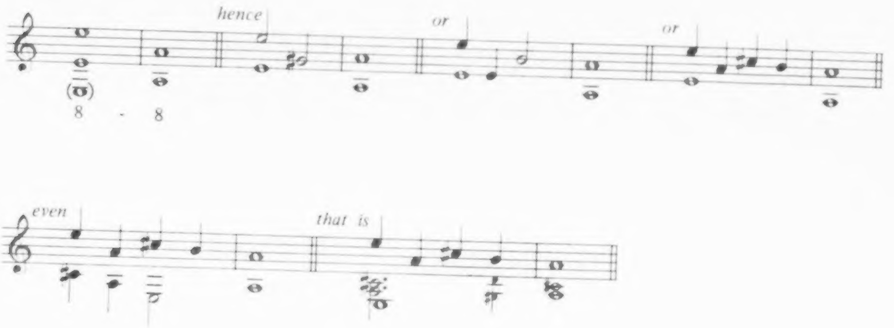

wend' auf dei - ne Wer - ke mein fro - hes An - ge - sicht.

Example 1f. Mendelssohn, Opus 57 No. 6, *Wanderlied*, mm. 27–31.


die - ses Stro - mes Gruss
3
f
dim.
leggiero
p
f
Ped.
*

decisive cadences given in Examples 1a–f represents a solution to the same voice-leading problem, namely, the breaking of the outer-voice parallel octaves that fall (or, in the case of Example 1e, would fall) between the onset of the cadential six-four chord and the arrival of the local tonic (Example 2).

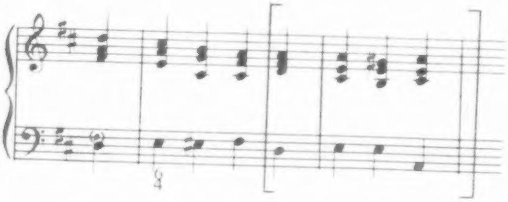
Example 2.



In general the characteristics shared between "Fussreise" and the other excerpts of Example 1 in matters of, say, rhythm, spacing, and text-setting are so obvious as to need no comment. The resemblance between Example 1a and Example 1b is especially close and hints that perhaps further correspondences between "Fussreise" and Schumann's Opus 77, no. 1, "Der frohe Wandersmann," should be expected. This conjecture will be tested below.

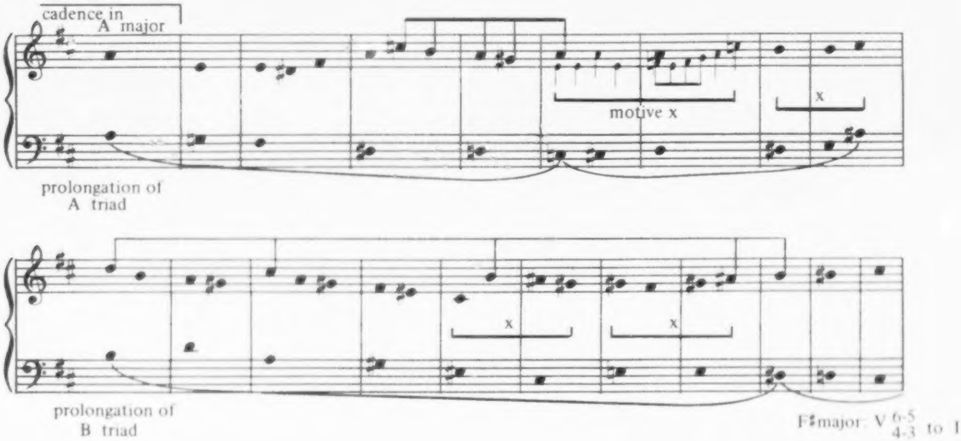
With regard to Example 1a and Example 1c the behavior of another six-four chord (marked with an asterisk) draws attention to itself. This earlier six-four moves on to the submediant chord, and together the two chords function as a precadential progression whose simplest expression is included in Example 3. Like "Der frohe Wandersmann," Schumann's "Kleiner Morgenwanderer," no. 17 in his *Album für die Jugend*, Opus 68, shows here enough local congruence with "Fussreise" to arouse one's curiosity: do other conformities exist between the Wolf song and the Schumann character piece? This question too will be pursued.

Example 3.



Between "Fussreise" and "Der frohe Wandersmann" one large-scale resemblance manifests itself. A clue to its location occurs right after the dominant cadences excerpted in Examples 1a and b, where the same diminished chord, F♯-A-C-(E), replaces the preceding A-major harmony. In each song this progression begins a section that will close in the key of F♯. In "Der frohe Wandersmann" a four-bar period in E minor (mm. 13-16) is without alteration transposed up a whole step to cadence in F♯ minor (m. 20). "Fussreise" works out the same idea (that is, a twofold cycle created by upward transposition by a whole step), but without exact repetition or regular periodicity. Example 4 sketches the procedure, which involves the prolongation of a chord on A, moving from a major triad in five-three position to a minor in six-three (mm. 42-47), and, matching this, the prolongation of a chord on B, moving from a minor triad in five-three position to a major in six-three (mm. 51-59).

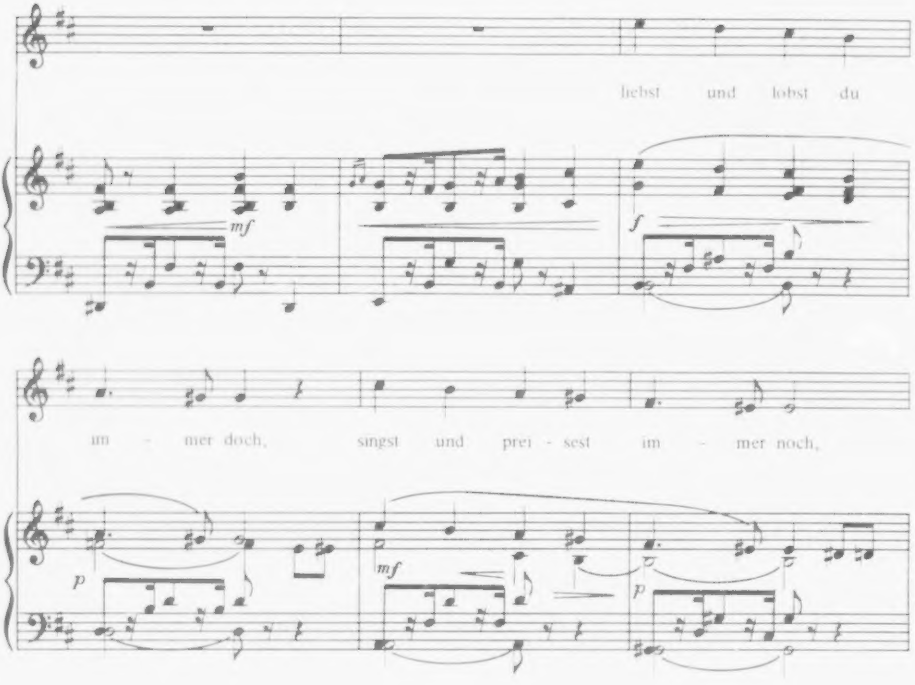
Example 4. *Fussreise*, see mm. 42-61.



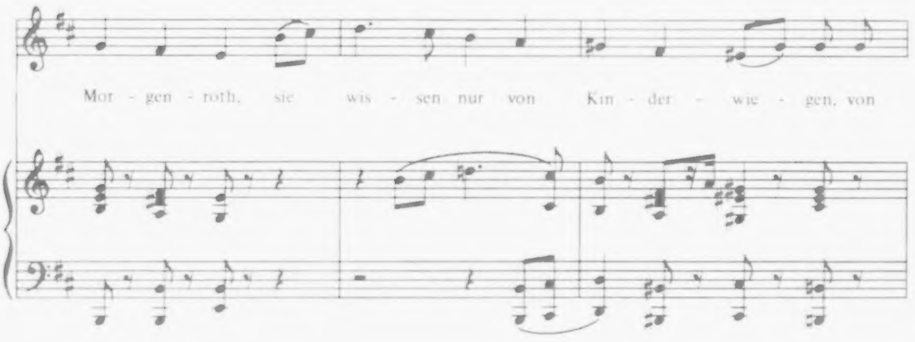
The ends of the prolongations are signaled by the disappearance of the dissonance-to-resolution moves contained within most of the preceding measures. Other ways in which the two matching segments of mm. 42-50 and mm. 51-60 resemble each other are the use of the repeated motive, *x*, in mm. 47-50 and 55-58, and the submerged recurrence of the upper-voice motion that is indicated by the beamed long stems. In their second appearance the returning harmonic, motivic, and other melodic elements have a different temporal alignment with each other. Again, as with the Schumann song, the middle section cadences in the key of F♯—in "Fussreise" F♯ major (m. 63).

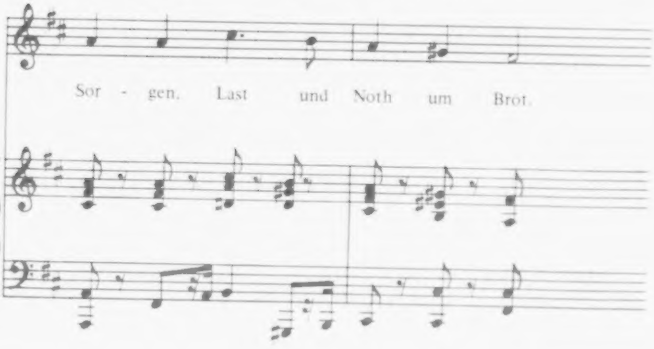
Thus the most modulatory internal sections of the Wolf and Schumann songs possess strong structural parallels: they share a skeletal harmony. But the harmonic format is in no sense an extraordinary one, and the relationship between these particular sections might remain largely formal rather than becoming readily perceptible were it not for moments like those shown in Examples 5a and b. In these excerpts the similarities are confirmed not through one or another parameter taken singly but by general shapes that ally the passages. Despite harmonic divergences, some measures in the central section of "Kleiner Morgenwanderer" also seem cut from the same cloth (see Example 5c).

Example 5a. *Fussreise*, mm. 49–54.

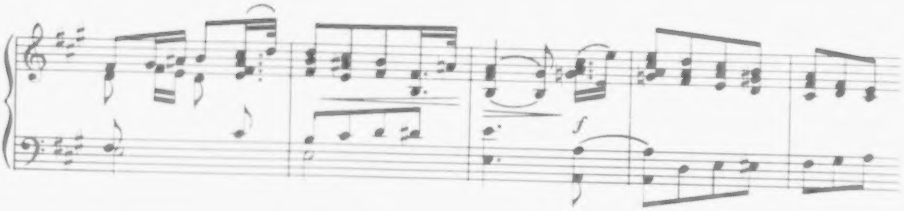

liebst und lobst du
mf
f
im - mer doch, singst und prei - sest im - mer noch,
p
mf
p

Example 5b. *Der frühe Wandersmann*, mm. 16–20.


Mor - gen - roth, sie wis - sen nur von Kin - der - wie - gen, von

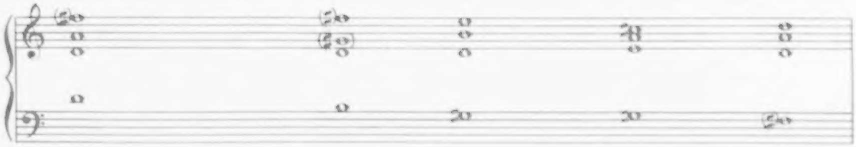


Example 5c. *Kleiner Morgenwanderer*, mm. 10–14.

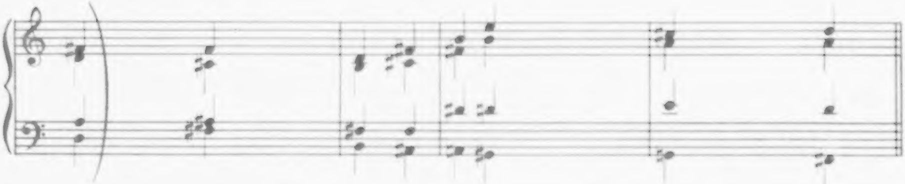


With regard to harmony, the procedures by which "Fussreise" prolongs the chords on A and B parallel the techniques found in the opening section of "Der frohe Wandersmann." In this passage the tonic triad is again extended from an initial appearance in five-three position to a concluding six-three chord (m. 7). The progression printed as Example 6a underlies the prolongations realized in both songs. Examples 6b–d represent in greater detail the outer voices and the successive harmonies of the passage found in "Der frohe Wandersmann" and the two in "Fussreise," which are now set out in the key of D to facilitate comparison. For all the linear elaboration and the more expansive rhythmic progress of the measures written by Wolf, the deployment of the harmonies is similar enough to allow each passage to recall the others.

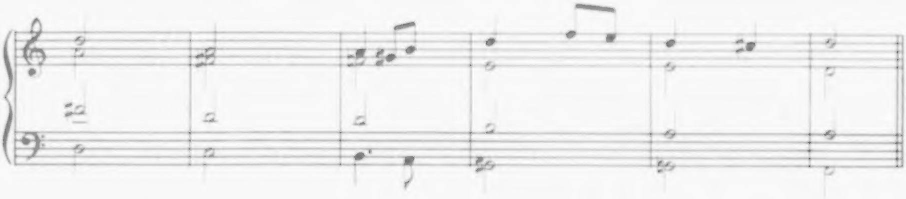
Example 6a.



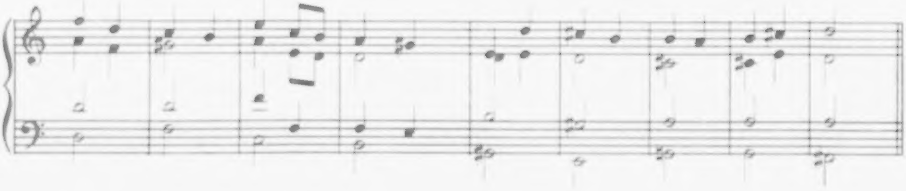
Example 6b. *Der frohe Wandersmann*, see mm. 4–7.



Example 6c. *Fussreise*, see mm. 42–47.

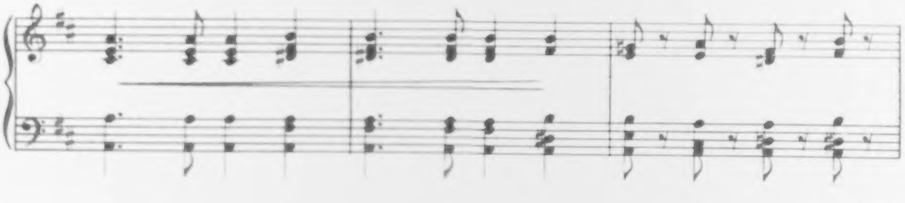


Example 6d. *Fussreise*, see mm. 51–59.

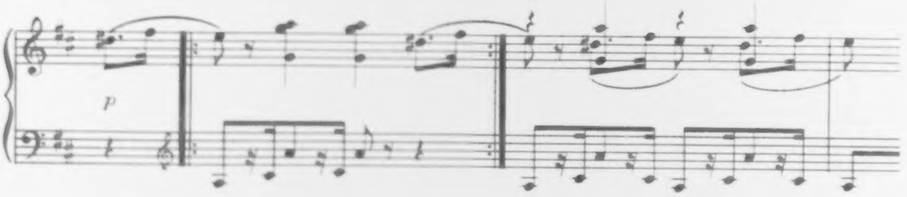


Likewise in the use of pedal points situations of discernible similarity arise. The character piece by Schumann as well as his song introduces a dominant pedal after that key has arrived (in the song after the second time the dominant is reached; see Example 5c and 7a). In "Fussreise" pedal points are continually appearing. A comparison of dominant pedal points reveals some notable differences between Wolf and Schumann along with the similarities. In the second of the two dominant pedal points in "Fussreise" a recurrent dissonating tritone above the bass (i.e., D♯ above A; see Example 7b) is bereft of the full harmonic explanation that Schumann has provided for the corresponding A♯ in "Kleiner Morgenwanderer" and D♯ in "Der frohe Wandersmann." (An American song offers a curious parallel to "Fussreise" here. In Charles Ives's "Walking" much the same scale as Wolf uses in mm. 26ff. is expressed at a pedal point one whole step lower; the intervals Wolf calls for above the pedal note A Ives has written above G. See Example 7c.)

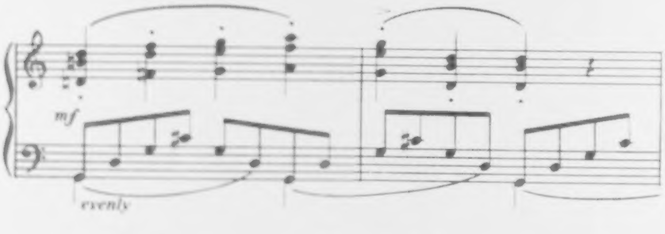
Example 7a. *Der frohe Wandersmann*, mm. 33–35, piano part only.



Example 7b. *Fussreise*, mm. 26–30.

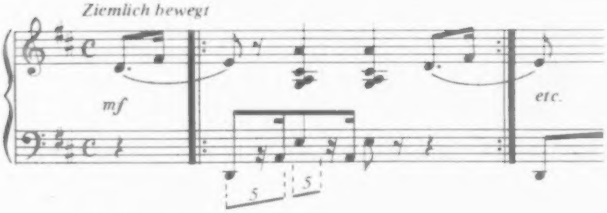


Example 7c. Charles Ives, *Walking*, mm. 29–30.

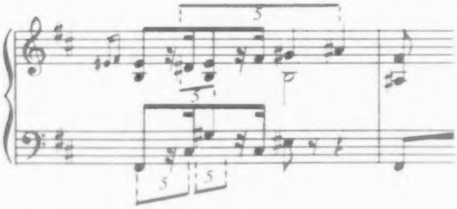


In "Fussreise" the pair of upward fifths, D-A-E, stated over the opening tonic pedal (Example 8a) seems to color the sound of the entire song. From beginning to end the spacing of conventional harmonies, though created by traditionally correct part-writing and properly used "nonharmonic" notes, operates to bring out their "fifthness". Example 8b presents a good instance of this. In the two Schumann pieces such materials appear almost exclusively as closing gestures (Examples 8c and d). Thus in small dimensions Schumann uses an idea that permeates the Wolf song as a whole. (At this point a second reference to Ives's "Walking" becomes relevant, for in this song fifths are brought out not only through much parallel-fifth writing between chords but also through vertical fifths within chords, especially the one given in Example 8e.)

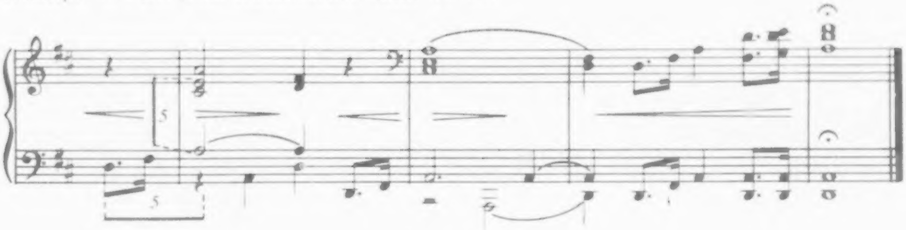
Example 8a. *Fussreise*, mm. 1-3.


Ziemlich bewegt
mf
etc.
5
5

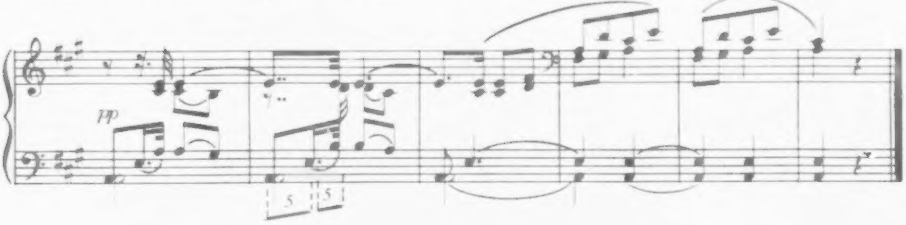
Example 8b. *Fussreise*, mm. 67-68.



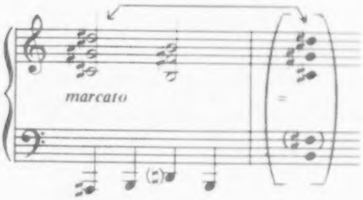
Example 8c. *Der frohe Wandersmann*, mm. 46-50.



Example 8d. *Kleiner Morgenwanderer*, mm. 24-29.

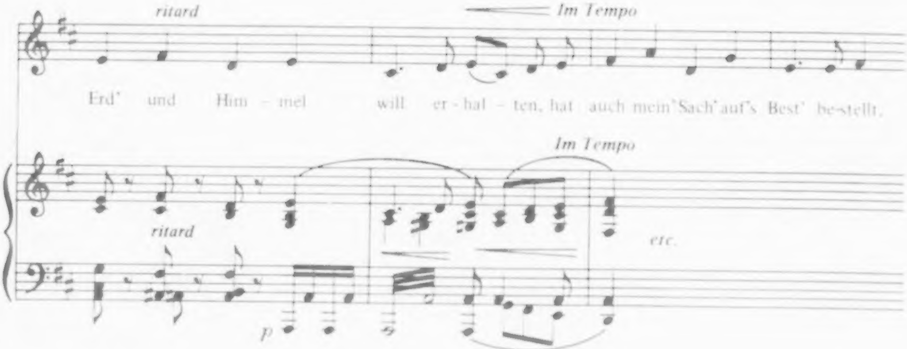


Example 8e. *Walking*, m. 4.



The opening measures of "Fussreise" establish a distinctive role for the note E. This note, which enters as a supertonic displacement of the mediant, F♯, acquires a marked tendency to rise, and repeatedly this tendency is fulfilled. Schumann's "Der frohe Wandersmann" emphasizes the same 2-3 move, which is highlighted most of all in the passage where the voice returns to its opening strain for the last time (Example 9). The postlude of the song closes with a 2-3 gesture (see Example 8e).

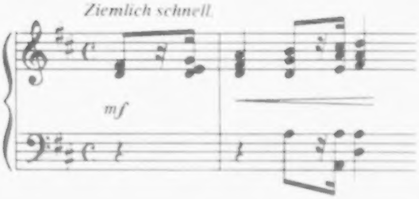
Example 9. *Der frohe Wandersmann*, mm. 37-40.


ritard
Im Tempo
Erd' und Him - mel will er - hal - ten, hat auch mein' Sach' auf's Best' be-stellt.
Im Tempo
ritard
etc.
p

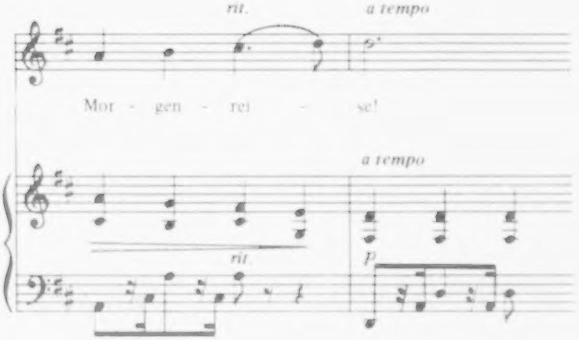
In both songs the pull upwards to the mediant, continually and strongly expressed in the course of the melody, operates in the harmonic sphere as well. For instance, both songs introduce an applied dominant before the F♯ triad during the move to the dominant key (see Examples 1a and b), and both direct an important modulation to the key of F♯, which acts as a terminal point in the middle sections that were described above.

When scale steps 2 and 3 of the dominant appear, they are at the same time reinterpretations of the original key's 6 and 7; each song inevitably presents B moving to C♯ in this context. With a fresher meaning this pair of notes also takes on prominence in the original key. The piano prelude and interludes of the Schumann lied feature the upward thrust of scale steps 6-7-8 (Example 10a), and in "Fussreise" the same ascent is made repeatedly, most notably at the conclusion of the vocal line (Example 10b). The Schumann piano piece closes in somewhat the same way (see Example 8d above and Example 10c).

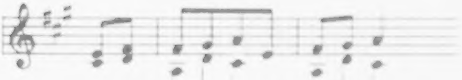
Example 10a. *Der frohe Wandersmann*, m. 1.



Example 10b. *Fussreise*, mm. 77–78.



Example 10c. *Kleiner Morgenwanderer*, mm. 26–28, right hand; some notes transposed an 8ve up.



As a last point of similarity one might focus on the conspicuous stepwise contrary motion accompanying the end of the vocal line in "Fussreise," Example 10b. Such part-writing appears earlier in the song only once, in m. 73. "Kleiner Morgenwanderer," on the other hand, uses this kind of contrary motion over and over again (see Examples 1c and 5c above). What stands out by its rarity in the song is in the piano piece a standard procedure.

The commentary on the series of examples set forth here deals largely with matters of pitch rather than those of phrasing, rhythm, meter, or tempo. But essential similarities occur in these areas, with like rhythmic events framing and controlling like harmonic and melodic events. Luckily the handful of musical illustrations already presented can adequately display the rhythmic conformities whose description might need hundreds of words.

What is the significance of all these relationships, whether of pitch or rhythm? As far as the composing of music is concerned, perhaps it can be said that such a collection of likenesses points at least provisionally to the conclusion that on one level the composer is manipulating just such components as these fragments. This assertion can be contrasted with two other views. The first might be called the constructional view, wherein the composer is seen as the builder of artworks that arise from his labor on the smallest dimensions of a piece, from his shifting about even of single notes. Many musicological studies, especially investigations of composers' sketches and revisions, imply this picture of the composer at work. The other view sees the composer as one who conceives the work as a whole, having come upon a musical idea from which every detail of the work will flow as a necessary consequence. Here is a radiational view, which has the composer controlling the work purely through his understanding of the idea lying at its core. Among others, some philosophers of music believe composing to be creation of this sort.[2] Certainly many people would agree that each of these views—the more atomistic, constructional view and the more organic, radiational view—expresses a truth. But what if one suspects that there are constituents in any piece, even a masterwork, that are arrived at neither *de novo*, from a fine calculation of what results from the placing of each detail, nor again through a grasp of how every note relates to an omnipotent fundamental idea? Acknowledging the force of routine and of remembered formulas would address such suspicions. That the composer achieves completed pieces by working within a tradition, and with the shapes that a tradition has made acceptable and meaningful to him, is another truth about composing.

Neither music lover nor practicing musician nor scholar fails to honor this view in his routine observations on music. Be it in trivial discoveries of "plagiarism" or in highly sophisticated demonstrations of how one piece has been modeled on another, everybody remarks now and then on the fact that the contents of compositions overlap.[3] Theorists and pedagogues in particular have reason to stress the common properties in musical products. Serious critics of music too serve their own purposes by locating parallels between compositions. Yet for all this, when investigation focuses on the genesis of individual works, the activating power of tradition is unlikely to be a primary object of study.

For "Fussreise," accepting the role of tradition would mean recognizing that the ideas already embodied in other "open air" or "open road" music had for Wolf a retained value and that he willingly used preexisting materials for the same functions they had earlier fulfilled. By incorporating these materials "Fussreise" takes its place beside such pieces as those cited in Example 1 above, whose titles alone tell a good deal: "Der frohe Wandersmann," "Kleiner Morgenwanderer," "Wander-

[2] See, for example, Patricia Carpenter, "Musical Idea and Musical Form: Variations on a Theme of Schoenberg, Hanslick, and Kant," in *Music and Civilization: Essays in Honor of Paul Henry Lang*, ed. Edmond Strainchamps, Maria Rika Maniates, and Christopher Hatch (New York: Norton, 1984), 394-427.

[3] The many studies of modeling usually show the composer's mind fixed on a single prototype, which is not at all the topic of the present article.

lied," "Morgenlied," and again "Wanderlied". Wolf's hiking song becomes part of this family. Of course the general category of "wanderer songs" comprises music from several centuries and in many divergent styles. But "Fussreise" and the rest fall within a more localized class, whose members share a fairly specific expressive intent, a wish to project a well-defined attitude toward life. The journeyers who walk through these particular pieces are not displaced persons, alienated wanderers out of step with the world. Rather, with high spirits and at peace with God, they set out in the morning to make their way on foot, choosing, as Ives's text puts it, not "to die or to dance, but to live and walk." Belonging to this expressive realm in the minds of Schumann, Wolf, and other composers was a stock of well-formed musical ideas and materials, which for Wolf would crystallize in "Fussreise".[4]

Eric Sams in his book on *The Songs of Hugo Wolf* has done invaluable work in explicating the expressive intentions of melodic, harmonic, and rhythmic motives prominent in Wolf's lieder. He discusses passages in "Fussreise" as cognates with those in some other Wolf songs; specifically, music given in Examples 1a and 10b above is linked by Sams to Wolf's "Morgentau Gebet" (*Mörikelieder*, no. 28), and "Selbstgeständnis" (*Mörikelieder*, no. 52).[5] From his knowledge of Wolf's style Sams is able, moreover, to characterize the key of F♯ major, in which "Fussreise" climaxes, as one that "Wolf often reaches at moments of great elation."[6] Another feature that Sams finds in "Fussreise," namely, the "horn passages" that he associates with Wolf's expression of "freedom," may be related to the accompaniment's use of vertical fifths (see Examples 8a and b above). Of course the nature of Sams's topic and method limits his searching broadly, in other composers' works, for affinities with Wolf's ideas and materials.

As far as analyzing music is concerned, the collection of such likenesses points to some neglected tasks at hand. Nowadays advanced analytic endeavors in every kind of art tend to focus closely on the individual work and to trust to the efficacy of self-enclosed analytic systems. In the face of this it may be perverse to suggest that musical analysis would gain by dwelling on the fact that the subject of one work is in a sense the other works written in the same vein. But if analysis is to deal with what a given composition contains, then some of its branches must try vigorously to come to terms with the tradition-established usages within it.[7]

Work on the import of these usages does not need to await irrefutable answers to the time-honored questions in aesthetics, what can music express and how can it express it. Analysis, having its own aims, may leave aside these elemental philosophical concerns, which such skilled thinkers as Peter Kivy and Edward T. Cone have recently addressed.[8] Not required either and perhaps not wanted is any set of prior findings as to the meaning of this or that musical fragment. What tradition creates is so dependent on context, so enmeshed in actual musical events, that a dictionary like the one that Deryck Cooke hoped to provide in *The Language of Music* would be of little if any help.[9] Instead music analysts might initiate their efforts by investigating repertories that cohere in terms of chronology, geography, and genre and adducing therefrom the evidence that bears directly on the piece to be analyzed.

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[4] Walter Wiora finds that "Fussreise" belongs to a longstanding tradition with respect to both its rhythm and the contour of its opening melody; see his *Das deutsche Lied: Zur Geschichte und Asthetik einer musikalischen Gattung* (Wolfenbüttel and Zurich: Möseler Verlag, 1971), 20.

[5] Eric Sams, *The Songs of Hugo Wolf*, 2d ed. (London: Eulenburg Books, 1983), 45, 80, 107, and 145.

[6] Ibid., 80 (see also 34–35). The F♯-major modulation in "Fussreise" may be compared to the move to the same key in m. 38 of George Henschel's Opus 17, no. 2, "Wanderlied" (quoted in Example 1d above), which is also in D major.

[7] This task is related to what Leonard B. Meyer terms the little explored field of "musical iconography"; see his *Explaining Music: Essays and Explorations* (Berkeley: University of California Press, 1973), 69–70.

Common sense endorses a catholic and pragmatic approach like this. By contrast hermetic methods, however fruitful, can seem at first blush unnatural, at least when applied to the visual arts and literature. Connoisseurs in the field of fine arts, for instance, would be puzzled by an analysis of a nineteenth-century painting that ignored any and all pictorial, narrative, and iconographic meanings that stemmed from other paintings of the same sort. Yet accepting the corresponding limitations in an analytical study of, say, a nineteenth-century song like "Fussreise" appears less questionable. To put such limitations into question is one reason for collecting the likenesses given above.

[8] Peter Kivy, *The Corded Shell: Reflections on Musical Expression* (Princeton: Princeton University Press, 1980), and Edward T. Cone, *The Composer's Voice* (Berkeley: University of California Press, 1974), esp. 158-75.

[9] Deryck Cooke, *The Language of Music* (London: Oxford University Press, 1959).

# Chromatic Completion: Its Significance in Tonal and Atonal Contexts

PAUL PACCIONE

> In short a rule of law emerged; until all twelve notes have occurred none of them may occur again. The most important thing is that each run of twelve notes marked a division within the piece, idea or theme.[1]

Thus Webern described the compositional process he used in his early atonal works. The "run" through the twelve notes of the chromatic scale is Webern's substitution for the harmonic/melodic progression of tonal music. That each "run" served as a means of marking off boundaries attests to the stabilizing quality attached to the filling out of the chromatic space.

Stability and resolution come about in tonal music principally by means of the cadence. There are other means of achieving stability, such as rhythmic periodicity and phrase structure, but these are tightly bound to tonal direction. Tonal direction finds resolution at the cadence.

In the early atonal works of the Second Viennese School, the unfolding of pitches aims at filling out the chromatic space.[2] The completion of this drive toward chromatic saturation serves a cadential function. The unfolding of pitches within the twelve-note span is guided by a premise that opposes both the repetition and omission of pitches. Yet, what is one to make of the occurrence of frequent deviations from such lines of order? Such deviations cannot be viewed solely in terms of local relationships, but have long-range implications that apply both to concrete musical relationships and to musical conventions. These implications lie beyond a particular "rule of law" and lead to the work itself.

In classical/romantic music, many compositions operate beyond the systematized framework of common-practice harmony and tonality and, in some works, the tendency toward the filling out of the chromatic space is present. Where and how does chromatic saturation occur and what is its function in music of the classic/romantic era? Can the understanding of such instances give greater insight into the nature of the atonal works for which this procedure is the norm? These are the issues and questions this article will address.

The concept of perpetual variation, whereby musical elements such as pitch, harmony, or rhythm continually transform and grow, was important to the composers of the Second Viennese School. In his *Theory of Harmony*, Schoenberg gives the model for a chromatically saturated chord. The chord is established by the rules of classical tonal harmony. However, Schoenberg warns that this chord is not for

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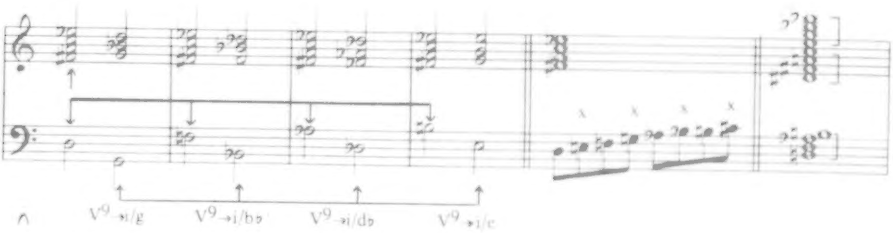
[1] Anton Webern, *The Path To The New Music*, trans. Leo Black, ed. Willi Reich (Bryn Mawr: Theodore Presser, 1963), 51.

[2] See Charles Rosen, *Arnold Schoenberg* (New York: Viking, 1975), 57-62.

"fastidious ears".[3] By adding four different bass notes to the same diminished-seventh chord, Schoenberg shows how the diminished-seventh chord can be interpreted as four different dominant-ninth chords. The different roots of the dominant-ninth chords form another diminished-seventh chord, and the roots of the chords to which these dominant-ninth chords resolve form a third diminished-seventh chord. The chords of resolution can be either major or minor. Through the concentration of the three diminished-seventh chords, or by what Schoenberg refers to as "thinking faster,"[4] a chord containing twelve different notes is constructed. We see from this demonstration an important example of the way in which Schoenberg's thinking grew out of traditional tonal concepts.

Example 1. Arnold Schoenberg, twelve-note chord.[5]



The roots of Schoenberg's formulation can be found in numerous examples from the literature. The transition passages from Mozart's Piano Sonata in F major, K. 332, show how chromatic completion can function in a tonal work. The passage from mm. 22–40 is clearly set off from both the first and second themes by rests. There is no preparation for this passage, which begins abruptly, *forte*, with octaves in similar motion in the new key of D minor. The transition passes briefly through the tonal areas of D minor and C minor. The use of the major dominant sets the transition off from the second theme, which follows abruptly in C major. Both D-minor and C-minor chords are preceded by diminished-seventh chords, vii$^{\circ7}$/vi = C♯-E-G-B♭ and vii$^{\circ7}$/v = B-D-F-A♭. But Mozart stops his descent at the minor dominant and the second theme begins, in the key of C major.

The recapitulation of the transition at m. 157 begins in the same way it began in the exposition, but after reaching C minor, it passes through the additional key of B♭ minor, the minor subdominant. Tonally this move to the subdominant is common in the closing half of the sonata-allegro movement and provides a loosening of the tension created by the focus on the dominant in the exposition. But this also provides a completion of the diminished-seventh chord succession. Just as the D-minor and C-minor chords were preceded by vii$^{\circ7}$, so is the B♭-minor chord (vii$^{\circ7}$/iv = A-C-E♭-G♭). The diminished-seventh chords descend by whole step in this progression. The complete succession of diminished-seventh chords in the recapitulation contains all twelve pitches and fills in what was omitted in the exposition.

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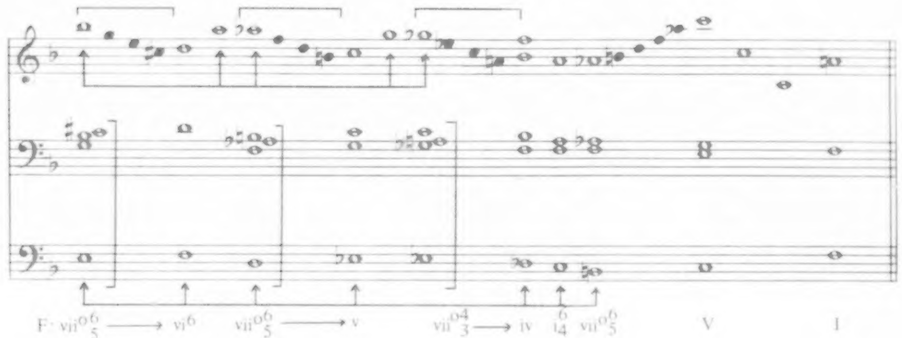
[3] Arnold Schoenberg, *Theory of Harmony*, trans. Roy E. Carter (Berkeley: University of California Press, 1978), 367.

[4] Schoenberg, 366.

[5] Schoenberg, 367.

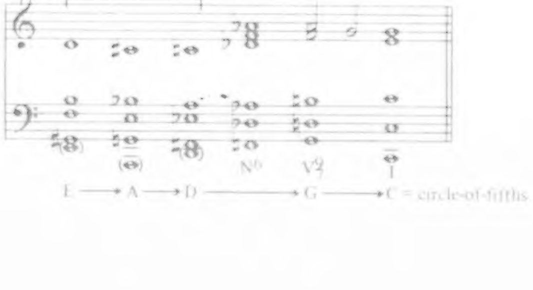
Thus the recapitulation provides tonal/chromatic completion. The reduction of this passage (Example 2) demonstrates how chromatic completion is achieved not only among diminished-seventh chords but also among principal pitches in the outer voices.

Example 2. Mozart, Piano Sonata in F major, K. 332, mm. 157–77.



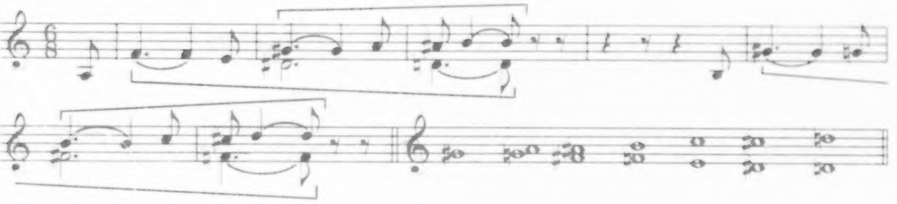
The direct succession of diminished-seventh chords containing all twelve pitches is a common element in romantic music. In Chopin's Mazurka in C Minor, Op. 56, No. 3, such a progression occurs just prior to the first important cadence in the coda. The three diminished-seventh chords substitute for the dominant-seventh chords in a chromatic circle-of-fifths sequence. The diminished-seventh chords descend by half step in this progression, which could also be interpreted as a circle-of-fifths progression of rootless dominant-ninth chords. Because of the rootless nature of the diminished-seventh chord, the tonal location of any point in the progression is ambiguous. The $N^6$-$V^7$-I progression which follows anchors the preceding circle-of-fifths sequence of diminished-seventh chords in the key of C major.

Example 3. Chopin, Mazurka in C minor, Op. 56, No. 3, mm. 184–89.


diminished seventh chords
N6
V9/7
I
E ⟶ A ⟶ D ⟶ G ⟶ C = circle-of-fifths

Chromatic completion is a prominent shaping element of the opening idea of the Prelude to Act I of *Tristan und Isolde*. The generating shape in the upper voice is the four-note chromatic G♯-A-A♯-B. In the first two phrases of the Prelude, transpositions and inversions of the motive interconnect and, when combined, result in an ascending and descending chromatic line extending from the axis pitch G♯, to D, the tritone above and below.

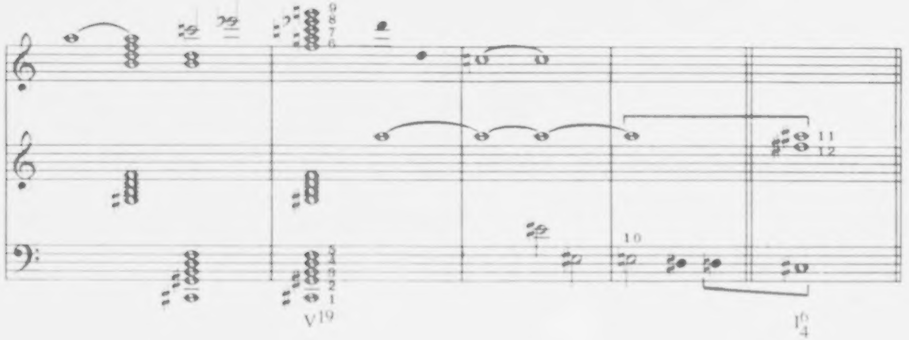
Example 4. Wagner, Prelude to *Tristan und Isolde*, mm. 1-7.



Note how the diminished-seventh chord (G♯-B-D-F) is embedded in the chromaticism of ascending and descending half steps. The second phrase provides chromatic completion. As a transposition of the first phrase, phrase two generates the four pitches of the twelve-note chromatic (F♯, G, C, C♯) that were missing from the first phrase. Phrase three of the Prelude is not an exact transposition of the first two. Of significance in phrase three is the extra pitch in the upper voice line. The directly ascending chromatic line of the upper voice, which began its ascent with the opening G♯-B motive, stops abruptly and dramatically at F♯ in m. 11. What follows is a series of octave transpositions of the rising minor second E♯-F♯. Only one pitch is needed to complete the twelve-note span, begun in m. 2 with G♯. When the music resumes its motion in m. 16, the twelfth pitch, G, is provided. However, it is placed on a weak part of the measure and is passed over quickly. Rather than serving as a goal, its function is that of a passing tone to A. Interestingly, it is the appearance of G at the end of the Prelude that constitutes the final close. The G at the end of the Prelude can be viewed as stemming directly from the chromatic line of the upper voice found at the Prelude's opening. As such, it is not surprising that the closing G should be preceded by an A♭.

There is a significant correlation between chromatic completion and tonal resolution in the Adagio from Mahler's Tenth Symphony. This correlation is highlighted twice in the Adagio, each time involving the closure of large sections. The central tonal focus of the Adagio oscillates between F♯ minor and F♯ major and reaches its striking climax in the dominant-nineteenth chord at m. 206. It is at this point that musical intensity, chromatic saturation, and tonal resolution coincide. The dominant-nineteenth chord is made up of nine different pitches: C♯-G♯-B-D-F-A-C-E♭-G, and bears immediate resemblance to Schoenberg's twelve-note chord in Example 1. The A that is sustained in the trumpets through m. 213 will act as a leading tone to A♯, the third of F♯ major. Underneath the suspended A, in m. 211, the leading tone to F♯, E♯, occurs in the cellos. The E♯ descends by half step to the tenth pitch, E, which in turn descends by half step through D♯ and D. It is at the double bar (m. 213) that chromatic completion, tonal resolution, and what have been the two main motivic ideas of the Adagio, A-A♯ and C♯-D, interlock. A in the trumpet, acting as leading tone to the third of F♯ major, ascends by half step to A♯, the eleventh pitch, in the first violins and flutes. At the same time, D descends to C♯, and the dominant-nineteenth chord resolves to $I^6_4$ in F♯ major. The twelfth pitch, F♯, is the root of the I to which the dominant-nineteenth chord resolves. The resolution to F♯ major signals this key as the principal key area of the remainder of the Adagio.

Example 5. Mahler, Adagio, Tenth Symphony, mm. 203–13.

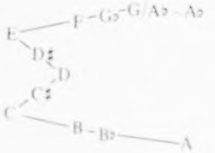


Chromatic completion and tonal resolution coincide for the second time in the closing measures of the Adagio. The closing passage begins with a variation of the opening viola solo in the first violins (m. 256). Shortly thereafter (m. 259) the violins begin a chromatic ascent from scale degrees 1 to 5. Set apart from the ascending chromatic line in the violins are the pitches D and E, orchestrated in the flutes, clarinets, and violas (mm. 259–61). These two pitches are representative of the key of F♯ minor and immediately following their occurrence (m. 262) the F♯-minor chord makes a brief appearance, as support to the A in the chromatic line of the violins. After this brief appearance, A rises to A♯, which is held for three measures (263–65). Once the chromatic line reaches its goal, C♯, only two pitches remain to complete the total chromatic—D♯ and E♯. The C♯ is held for four measures while a dominant-thirteenth chord, containing both C♯ and D♯, unfolds beneath it. In m. 277, the C♯, now doubled in the flutes, proceeds melodically to D♯, which functions as a passing tone to E♯ (m. 272), the twelfth pitch. The leading tone, E♯, subsequently rises to F♯. Thus the chromatic forces embedded in this passage contribute to cadential structure. That chromatic completion occurs at the two major cadence points in this work gives clear conformation of the relationship.

In the tonal works examined thus far, chromatic completion has played an important contributing role in the cadential structure. Often in the closure of large sections, the music moves on at least two structural levels, one tonal, the other chromatic. In the early atonal works of the Second Viennese School, all parts move in accordance with chromaticism. In these works chromatic completion is no longer just one part of the structure; it is the fundamental goal. Through the observation of chromatic completion in tonal music one gains insight into the reason for its stabilizing effect in atonal music. In the early atonal works of the Second Viennese School, chromatic completion maintains and, by necessity, enlarges its cadential role. Moreover, in the absence of tonality, the registral and timbral properties of pitch take on heightened importance. The fifth movement from Webern's Six Bagatelles for String Quartet, Op. 9, provides a crystalline example of the process of chromatic completion. Through the analysis of voice-leading procedures in movement five, structural implications inherent in the process are revealed.

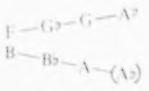
The generating interval for the fifth movement is the minor second. The piece is divided into three sections, delineated by the principle of chromatic completion. Measures 1–7 constitute section 1. In m. 1, two musical elements are presented: the sustained C-E major third in the outer voices (cello and viola) and the linear major second C♯-D♯ in the inner voice (second violin). The two motives combined result in two distinct pairs of inversionally-related pitch-class sets: C-C♯-D♯/C♯-D♯-E and C-C♯-E/C-D♯-E. The latter pair of pitch-class sets are a minor second expansion of the former. Motivic organization in this piece is the result of the consistent use of these two pairs of pitch-class sets. The principle of intervallic expansion by the minor second provides the directional force for the unfolding of the chromatic span. In section 1, the twelve pitches unfold in a progression of intervals that contract and expand by the interval of a minor second.

Example 6. Webern, Six Bagatelles for String Quartet, Op. 9, No. 5, registral expansion, mm. 1-7.



Thus registral contraction and expansion in one voice are balanced by the same type of motion in the other voice. Only two pitches prove to be an excepion to the rule: G and A♭ in m. 6. The adjustment Webern makes is a necessary one. If from the minor sixth B♭-G♭ Webern had continued to expand out by the minor second in both directions, he would have eventually run into the octave.

Example 7. Webern, Six Bagatelles for String Quartet, Op. 9, No. 5, minor-second expansion, mm. 4–7.



In order to avoid the octave, Webern simultaneously introduces the G and A♭ in the same register. The A♭ is sustained past the G and it intersects with the A in m. 7, in the bottom voice. As a result, the final vertical interval in the twelve-note run is the major seventh, an inversion of the generating minor second.

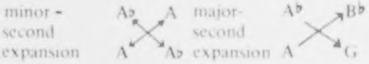
Throughout section 1, various pitch repetitions occur. Webern allows himself the repetition of pitches as long as they recur in their initial fixed register. This allows the unfolding progression of new pitches and the subsequent unfolding of registral space to go undisturbed. In addition, the restriction of each different note to a fixed register increases the sense of a need for the completion of the chromatic total. The process of perpetual variation pervades the work, particularly in regard to pitch repetition. Upon each of its restatements, a pitch undergoes subtle rhythmic and timbral variation.

The repeated C in m. 5, one octave higher than its initial appearance in m. 1, is unusual in this regard. It breaks the orderly expansion of interval and register and its repetition does not conform to Webern's previous handling of repeated notes. Therefore its function cannot be explained on the local level. In specifying an up-bow (the only bowing indication in the piece), Webern clearly intends for this pitch to project beyond its local surroundings. An examination of the second twelve-note run that comprises section 2 of the piece clarifies the appearance of the C in m. 5.

The closing of section 1 and the opening of section 2, which covers mm. 7–11, overlap in m. 7. The beginning of section 2 differs from section 1 in a number of ways. The texture of section 2 is more refracted, in the sense that the elements are broken up and refocused. Pitches are introduced one at a time instead of in pairs. Though the generating interval remains the minor second, the second section makes use of its compound expansions (the minor ninth) as well.

Section 2 begins with the minor tenth G-B♭ in m. 7 acting as an upbeat to section 2. This expands the registral space from the previous A-A♭ by a major second. Expansion by major second is a deviation from minor-second expansion. In this instance it is a means of avoiding the cross-octaves that would result from continued minor-second expansion.

Example 8. Webern, Six Bagatelles for String Quartet, Op. 9, No. 5, m. 7.

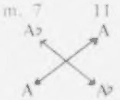


However, in expanding the space by the major second, minor-second expansion is implied in the cross relation of A and B♭, and A♭ and G. Registrally the three pitches that follow, E♭, E, and F, mark a return to the work's middle register. These pitches have appeared in close proximity before, in m. 3, where their appearance was preceded by a solo pizzicato D. Their subsequent appearance in m. 9 is this time followed by another solo pizzicato D. The D in m. 9 initiates a major fourteenth (D-C♯) glissando that considerably expands the registral space of this movement. The glissando itself is a telescoping of the total two-octave chromatic, and with the D-C♯ appearing at opposite ends of the glissando, the minor-second relationship is literally torn apart registrally.

It is interesting to see how Webern has prepared the entrance of the glissando.

The unaccompanied pizzicato D initiating the glissando has appeared before, an octave higher, in m. 2. The D is the only pitch so far to appear unaccompanied. The C♯ at the top of the glissando has been registrally prepared by the C in m. 5, a minor second below. In m. 5, the C had seemed out of place, both registrally and in regard to pitch repetition. However, with the appearance of C♯ in m. 9, a minor second above the C, the connection between the two pitches becomes apparent. To emphasize the connection Webern overlaps the C♯ in m. 9 with the following C a minor ninth below. This C is then followed by a B a minor second below, thus completing a four-note chromatic succession of pitches: D-C♯-C-B. The following G♭ in the first violin completes another four-note chromatic succession that was initiated in m. 8: E-E♭-F-G♭. The final two notes of section 2 and of the second twelve-note run appear simultaneously in m. 11: A♭-A. These are the same two pitches that closed the first twelve-note run in m. 7. The voice crossing that takes place between the A and A♭ in mm. 7 and 11 contributes to the closure of both sections.

Example 9. Webern, Six Bagatelles for String Quartet, Op. 9, No. 5, voice crossing, mm. 7 and 11.

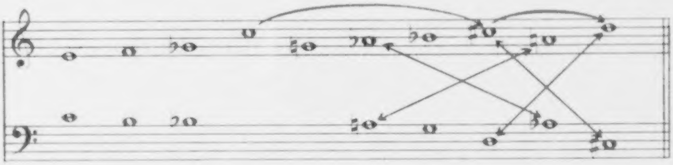


As a result of this voice crossing, the gap that was left by the major-second expansion, A-A♭ to G-B♭, is filled in. Further emphasis of the connection between these two points of closure is provided by the pitches that appear in m. 12, G and A♭. The G and A♭ in m. 12 once again share the same register. This relates to their appearance in m. 6: it was the appearance of G and A♭ together in m. 6 that initiated the final A-A♭ interval of the section.

The final measure of the piece contains the first four-note simultaneity. Each pitch in the four-note chord receives a different articulation. The use of different timbres and articulations has played an important role in differentiating repeated pitches. Few pitches have appeared in exactly the same way twice. In this sense, the chord in m. 13 can be viewed as a timbral summing up of the piece.

Marking off the final cadence is the interval of a minor sixteenth, C♯-D, in the viola. Initiated by the D-C♯ glissando in m. 9, these pitches represent a final minor-second expansion of the registral space. They are as a result the highest and lowest pitches of the work. Here again Webern uses voice crossing to contribute to the sense of closure.

Example 10. Webern, Six Bagatelles for String Quartet, Op. 9, No. 5, registral expansion and voice crossing, mm. 1-13.



The pitch content of m. 13 breaks down into a transposition of each of the two opening pitch-class sets from m. 1: B-D-E♭ and C♯-D-E. The intersection between these final pitch-class sets occurs on D. It is this pitch that filled in the gap left between both pitch-class sets in m. 1. D is the final note of the piece and, as has been customary, it appears unaccompanied. Registrally, D has occurred as a polar pitch in three important locations. It is the final pitch, the highest note of the piece, and it initiates the glissando in m. 9. It is also the axis pitch of the whole movement, around which the others revolve.

The careful control of register, along with the use of such contrapuntal techniques as voice crossing, itself a registral operation, contributes to the organization of pitches within the twelve-note chromatic. That these operations most clearly demonstrate themselves at the closing of a twelve-note run attests to the importance of such a completion and contributes further to its stabilizing effect.

In reflecting on the process of composing the Bagatelles, Webern remarked, "Here I had the feeling, when all twelve notes have gone by, the piece is over. Much later I discovered that all this was part of the necessary development."[6] It is profoundly instructive to consider Webern's remark both in light of what came before — and what was to come.

*Campus Focus*

# The Curriculum Design Process in Music

ESTELLE R. JORGENSEN

IN THIS ESSAY I SHALL SUGGEST an approach to curriculum design in music which, while taking account of important external factors, establishes the teacher's experience as a central element in the process and implies that the teacher's task is a professional as opposed to a merely technical one and an artistic rather than simply a craftmaking enterprise. While my focus is on the broader philosophical issues related to the development of a paradigm of the curriculum design process in music, I shall offer some examples that illustrate how each phase of this process operates in practice. It may then be imaginatively applied by each music teacher within the context of her or his specific area of expertise.

Curriculum design involves a movement from philosophical premise to practical reality, a quantum leap from a higher order to a lower order of generality and a corresponding increase in the number of practical options that reflect this generality. Two examples illustrate. The statement "All children have the right to enjoy and learn about music" may be translated into a variety of school music methods—Kodaly, Jaques-Dalcroze, Orff-Keetman, Suzuki, Carabo-Cone, to name a few[1]—all different visions of exactly how this statement should be interpreted. They are all basic solutions to the same general problem: how to provide all children with an education so that they enjoy and learn about music. Yet when each of these methods is carefully examined, different implicit and explicit assumptions emerge about how, what, when, where, and why children should learn music, each embodying a unique vision of the specific objectives and methods that music educators espouse.[2] Similarly, the statement "All performance majors in music should have ensemble experience during the course of their undergraduate training" may be interpreted in a variety of ways specifying exactly what ensemble experience is desirable; how, when, and where it should be acquired; and what literature should be studied—each representing different implicit and explicit assumptions about how this general principle should be put into practice.

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[1] See the issue of the *Music Educators Journal* 76/6 (1986) entitled "Major Approaches to Music Education."

[2] Joseph J. Schwab addresses the question of the multiplicity of images generated by a movement from the theoretical to the practical which he calls the "eclectic arts" in his article "The Practical: Arts of Eclectic," *School Review* 79 (1971) 493–542, and Israel Scheffler offers a critique and refinement of Schwab's ideas in his book *Reason and Teaching* (Indianapolis and New York: Bobbs-Merrill, 1973), chapter 16.

I use the word curriculum to refer to the content of instruction,[3] including both the intended and resultant curriculum—i.e., what is intended or planned as well as what is resultant or produced after intended content, modified during the instructional or interactive process between teacher and student, has been shared. While the intended curriculum may be discovered in course outlines or curricular guides, the resultant curriculum becomes evident in the content and approaches or methods actually covered in the instructional process. Each implies a very different method of inquiry. Further, each can be looked at from different levels of generality. The lesson plan is just as much a statement of intent, albeit at a more specific level, as is the course outline viewed at a higher level of generality. Both are forms of intended curriculum. The term curriculum design implies the translation of general assumptions and beliefs about content into specific intentions and subsequent realities, that is, into both intended and resultant curricula.

Curriculum design has historically been based on the four general questions (or some variant of them) raised by Ralph W. Tyler:[4] "What educational purposes should the school seek to attain?" "How can learning experiences be selected which are likely to be useful in attaining these objectives?" "How can learning experiences be organized for effective instruction?" and "How can effectiveness of learning experiences be evaluated?" While it has often been interpreted as a closed system, curriculum design, as I see it, is in a constant state of "becoming." It is an open system or a dynamic process.[5]

Tyler's curricular paradigm has not been without its critics in recent years. For instance, Joseph J. Schwab argues that its use has led to an excessively theoretical emphasis in curriculum that has proved bankrupt.[6] Some reconceptualists feel that it merits reexamination from a critical perspective.[7] There is always a danger, though, that in the enthusiasm to clean the conceptual house of curriculum the positive contributions inherent in Tyler's paradigm may be overlooked. My approach is to recognize that this paradigm both enables some useful distinctions that warrant further refinement and revisioning and provides a useful approach in the conceptualization of the dynamic movement from theoretic assumption to practical reality and back to theoretic assumption—where these are considered, as Israel Scheffler notes, to be interrelated and interdependent entities.[8]

Curriculum design is rooted in philosophical questions: Why am I here? What am I doing? What do I want to accomplish? What are the constraints on my free-

[3] See also Estelle R. Jorgensen, "On a Theory of Music Pedagogy," *Psychology of Music* 8 (1980): 25–30.

[4] Ralph W. Tyler, *Basic Principles of Curriculum and Instruction* (Chicago: University of Chicago Press, 1949).

[5] This notion of curriculum design as a dynamic process enables the reconciliation of, and encompasses within it, a variety of curricular images. See William H. Schubert, *Curriculum: Perspective, Paradigm, and Possibility* (New York: Macmillan, 1986), chapter 2.

[6] Joseph J. Schwab, "The Practical: Arts of Eclectic." See also his *The Practical: A Language for Curriculum* (Washington, D.C.: National Education Association, 1970). As noted in Schubert, *Curriculum*, 173, Schwab follows an Aristotelian sense of the word "theoretic" as oriented toward abstract theory in contrast to the notion of "practical" as addressing the experienced state-of-affairs in education.

[7] See William Pinar, ed., *Curriculum Theorizing: The Reconceptualists* (Berkeley: McCutchan, 1975).

[8] See Scheffler, *Reason and Teaching*, 187–89.

dom of action to do what I would like to do? Decisions on method—How shall I get the job done most efficiently and effectively?—are predicated on a response to these questions and follow in course. This is not, however, a simple matter, especially where several visions of curriculum prevail, some of which may be conflicting, or where a particular vision may have several possible practical translations. How does a teacher reconcile or evaluate these disparate visions?[9]

As a suggested approach to this problem I shall sketch a working list of principles that may serve as a guide in the process of moving from philosophy to practice in curriculum. While I make no claim for its exhaustiveness, the list represents considerations that derive from my observation and experience of the process of curriculum design. They form values that are existentially known, notions of ideal states or objectives apprehended by teachers and toward which they strive but which nevertheless remain more or less elusive in practice, and means by which teachers can systematically consider the multiplicity of philosophical assumptions and practical curricular implications. As such, they are individually and intuitively known in the light of teachers' past and present experience and apply over the long term rather than simply in the immediate situation. This notion implies the importance of sociological as well as psychological and physical determinants of teacher expectations.[10] It suggests that teachers differ both qualitatively and quantitatively in their conceptualizations of these values. A tension exists between what they apprehend to be desirable (the existentially-known ideal) and possible (within the constraints of a particular situation in the real world). Indeed, the simultaneous operation of these principles creates tensions that must be resolved by a particular teacher in the context of a given and specific set of circumstances.

*Economy* has to do with the most efficient use of resources. This principle derives from the recognition that the means or resources needed to translate intended curriculum into resultant curriculum are in limited supply and must therefore be used in the most efficient manner possible. It implies economy of means in instruction: that the teacher chooses a curriculum which enables the most cost-effective use of time, energy, money, and materials in its translation. This process of resource allocation in school music has been explored in a preliminary way elsewhere.[11]

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[9] In *Reason and Teaching*, Scheffler notes the necessity of a careful evaluation of competing theories (pp. 194–95), points to the essential "*linkage* of philosophical and practical concerns" (p. 32), and notes some of the rules by which curriculum may be justified philosophically (pp. 116–25). My intent here is to spell out in more detail some of the principles which Scheffler has described (viz., logical, ethical and moral, and pragmatic considerations) but which I arrived at independently by way of personal observation and experience. Scheffler looks at the problem of justifying curricular decisions whereas I am more concerned with the issue of developing curricular decisions or with curriculum design. These are two sides of the same coin.

[10] The importance of social elements as factors in the determination of an individual's understanding of reality is argued in Peter L. Berger and Thomas Luckmann, *The Social Construction of Reality: A Treatise in the Sociology of Knowledge* (New York: Doubleday, 1966).

[11] See Estelle R. Jorgensen, "On Resource Allocation in School Music," in *Proceedings of the McGill Symposium in School Music Administration, 1979*, ed. E. R. Jorgensen (Montreal: Faculty of Music, McGill University, 1980), 22–37. Scheffler, *Reason and Teaching*, 123–25, places a similar notion of economy within a broader context of the development of self-sufficiency—the idea that not only should the most efficient approach to curriculum be taken, but knowledge should be generalizable

*Richness* refers to the need for diversity and variety in the curriculum; for fullness, completeness, breadth, and depth of perspective and experience. It relates not only to the content of subject matter but also to the methods and resources used in the instructional process. This principle may be defended on two grounds. First, the plethora of curricular visions and possibilities, each of which constitutes a partial or incomplete view, suggests that a fuller knowledge is achieved when many visions are included. Second, there is a sense in which the artist's creation symbolizes the epitome of luxury without regard to cost, the employment of all that is needed to fashion a thing of beauty without compromise. Thus when viewed as an "eclectic art," or the way in which the various curricular images resulting from a particular philosophical perspective are reconciled and translated into practice, curriculum design might also be expected to exemplify this characteristic.[12]

*Balance* involves the weighing of alternative, possibly competing, and even conflicting philosophical perspectives or curricular directions in order to avoid extremes and to ensure appropriate weighting to each perspective or curricular alternative. It relates to a variety of aspects such as curricular objectives, methods, repertoire, and the relationship between variety and repetition in the curriculum. This principle may be defended by reference to the classical notion of balance historically regarded as an ideal in music and art, and therefore appropriate to curriculum design conceived of as an eclectic art.[13]

*Realism* concerns the practicality of the curriculum; the necessity of its being capable of translation from a vision to the real world of a particular time and place. Typically, it centers on such aspects as teacher expectations of students (for example, their intelligence, musicality, knowledge, and physical development) and of themselves, other colleagues and administrators.

*Structure* relates to the organization and articulation of the curriculum — its content, scope and sequence, and hierarchy of objectives. This principle presumes that such articulation enables clarity of presentation of material (conceived broadly as the notion of the student's encounter with the material by a variety of specific instructional methods) and, thereby, more efficient student learning. It may be defended on philosophical as well as physiological and psychological grounds on the basis that "significant form" or articulated structure is a characteristic of works of art or objects of beauty.[14] As an eclectic art, curriculum design might be expected to demonstrate this quality.

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and translatable to other areas. As a practical means of avoiding the extremes of superficiality and ignorance, he offers the opinion that "the solution lies not in rapid survey courses but in the intensive cultivation of a small but significant variety of areas" (p. 125).

[12] Richness is among the "Being-values" characterizing peak experience perception listed by Abraham Maslow, *Religions, Values, and Peak-Experiences* (Columbus, Ohio: Ohio State University Press, 1964; reprint, Harmondsworth: Penguin, 1976), p. 93, implying ideas of "totality," differentiation," "complexity," "intricacy," "nothing missing or hidden," and being "all there." The term "eclectic art" is used in the Schwabian sense.

[13] For a discussion of balance in musical classicism see Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven* (New York: Viking Press, 1971).

[14] The notion of "significant form" is developed in Susanne K. Langer, *Philosophy in a New Key: A Study in the Symbolism of Reason, Rite and Art*, 3rd ed. (Cambridge: Harvard University Press, 1957), chapter 8.

*Ethical acceptability* denotes the necessity for a correspondence of the curriculum to the mores, values, and rules of the society or sponsoring social group, for example, the concurrence of elitist or universalistic values implicit in the curriculum with those in the society or social group.[15]

*Excellence* denotes musical and aesthetic ideals of repertoire, performance practice, and teacher exposition. This principle implies a search for perfection in the arts—a quality that might also be thought to characterize curriculum design when viewed as an eclectic art.[16]

*Consistency* refers to the logical criterion of internal consistency in the curriculum—of curricular content with philosophical assumptions and of each part of the curriculum with all the other parts.

*Correspondence* denotes the logical criterion of a fit of theory and evidence—the correspondence of the curriculum with evidence from research in such areas as physiology, psychology, and sociology in regard to specific questions of aesthetic development, teaching, learning, and instruction. It implies the assumption of the best extant practice in curriculum.

*Coherence* refers to the logical integration of the curriculum as an integral whole—the notion of the parts fitting together as a unit and of the desirability of unity in the whole.

*Relevance* denotes the relationship of the curriculum to contemporary society—the assumption that the knowledge implicit and explicit in the curriculum is deemed worthwhile or useful by the sponsoring society or social group.

*Personal preference* relates to the teacher's interests and skills, agreement with or belief in the efficacy of the curriculum. This is based on the assumption that teachers will approach the instructional process in more or less individualistic ways, in the context of their own personalities and teaching styles. They will be most effective when they believe in the curriculum, feel that it suits them, find it compatible with their perceived teaching styles, and believe that it will be appropriate for their students.

*Utility* denotes the pragmatic results of the curriculum that have been historically evident—whether it has "worked" in the past and can reasonably be assumed to work in the present or future. This aspect differs from realism in that it concerns not so much an individual teacher's expectations as judgments about what kinds of pragmatic results the curriculum has had or can be expected to have when put in place at an institutional or societal level. Whereas correspondence denotes a fit between the curricular assumptions and evidence, utility represents the fit between intended curricular outcomes and the evidence of the resultant curriculum in the wider view.

Based on these principles, I am proposing a *process-oriented* rather than a *product-oriented* approach to curriculum design in music that is particularly appropriate in the context of sociocultural change and imperfect knowledge.[17] Specifics differ over time and from place to place. Over time, technological inventions result in a change in the nature of music programs, school populations vary in composition and size, staff and administration changes result in an alteration of the environment in which the curriculum is used, and societal changes necessitate a corresponding curricular response. Also, specific administrative arrangements vary and societal and cultural contexts differ from one place to another. Moreover, in the absence of perfect knowledge, expectations may not be realized and curricular adjustment over both time and place may be necessitated.

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[15] It is possible that in practice, rather than a "perfect fit," there may be a margin or "zone of tolerance" of divergence between the assumed mores, values, and rules underlying the curriculum and those of society or the sponsoring social group.

[16] See Estelle R. Jorgensen, "On Excellence in Music Education," *McGill Journal of Education* 15/1 (Winter, 1980):94-103.

Two assumptions underlie this curriculum design process. First, a five-phase decision-making process moving generally from problem through search, choice, implementation, to evaluation (but permitting regression to previous phases or omission of phases) is operative. As each decisional cycle generates a new one, all of these phases can be described in terms of aesthetic, ethical, causal, numerical, spatial, and temporal elements.[18] Further, they each relate to several dimensions of music education, notably teaching, learning, curriculum, administration, instruction, and systematic musicology.[19] The utility of this paradigm lies in a recognition that the solution to and evaluation of one problem may itself give rise to yet another problem; that temporal, spatial, numerical, causal, ethical, and aesthetic constraints operate at each decisional phase; and that a curricular decision has possible implications for other aspects of music pedagogy noted above.

Second, there is a dialectic or tension between the desirable and the possible, between what teachers want to do and what they can do. Constraints in this vision are viewed as creative possibilities, both restricting and enabling, that operate in respect of each phase in the process of curriculum design. A synthesis of elements of the desirable and the possible results in the realizable, the reality of "what is".

The curriculum design process constitutes a movement from philosophical premise to intended curriculum and thence to resultant curriculum as a consequence of the interface of the curriculum and instruction, and from the general toward the specific. This involves successive phases of development: general objectives, general program outline, specific objectives, specific curricular plan, specific lesson strategies, and translation of curriculum into instruction.

The general objectives on which the intended curriculum is based arise as a result of several factors. These may include the teacher's professional training, cultural background, attitudes, beliefs and values, knowledge of music and other subjects, and external influences on her or him arising from such things as music syllabi or fellow colleagues' expectations. Each curriculum reflects a teacher's unique as-

[17] Henry Zentner, "Curricular Planning for Sociocultural Change and Development: A Critique," *The Journal of Educational Thought*, 13/3 (1979):170–96.

[18] These elements are described in Zentner, "Curricular Planning." An application of these elements within the decision-making process in music may be found in Estelle R. Jorgensen, "On the Decision-Making Process in Music Education," *The Journal of Educational Thought*, 19 (1985):218–37.

[19] For an outline of this taxonomy of dimensions of music education see Jorgensen, "On a Theory of Music Pedagogy."

sumptive frame of reference; his or her belief- or expectation-set.[20] By virtue of her or his life experience to that point, a teacher has personal and professional limitations, biases, beliefs, and expectations that together make up the subjective basis for the general objectives for the curriculum.[21] Each music curriculum, then, might reasonably be expected to be unique, reflecting the individual who develops it. Even in the case of a curriculum designed for wide use as a music syllabus, professional teachers must be free to develop curricula that are distinctive. To deny this freedom is to deprive them of opportunities to develop imaginative curricular solutions appropriate for the particular circumstances in which they find themselves. Various types of general objectives are considered by the teacher, be they the development of performance skills, attitudes to music, or understanding of the history and theory of music. The teacher typically arrives at some sort of balance of these sometimes competing or even conflicting objectives. In each case she or he takes into account the desirable and the possible in determining realizable general objectives. Moreover, the teacher's past experience is modified by what happens in the present. His or her values may change over time, resulting in a possible tension between past and present values. This ongoing revision in the "pool" of teacher experience gives rise to changing general objectives that are also rethought within a dynamic process of ongoing reevaluation.

A choral conductor joins a university school of music with definite opinions as to the general objectives she would like to implement in the choral department. As the years pass, her performance experience grows, she is influenced by other colleagues, and her objectives evolve. At first, she wishes to develop her conducting experience and to perform a wide range of choral repertoire in the Western tradition. Later, she specializes in conducting the choral music of a given period, major choral-orchestral works, or choral music from non-Western traditions. Her statements of general objectives seem more philosophic than specific in nature: "All choral students at this school will be exposed to choral-orchestral masterworks representative of all major historical periods." Or, "During this year, students will gain an understanding of Baroque choral performance practice." Obviously, these statements may be interpreted in a variety of practical ways.

The general program outline follows the formulation of general objectives and constitutes a sketch of the major elements of the program. It may be likened to the skeleton on which the teacher fleshes out subsequent detail. Students need a structure or a framework on which to hang ideas. Before they can be expected to have such a structure, their teachers must first have it clearly in mind. In the absence of this framework of more general ideas, a curriculum has the appearance of being a loosely organized string of topics rather than of an integrated and articulated structure of topics at different levels of generality. In order to achieve this structure it

[20] The term "assumptive frame of reference" was coined by Edward Tiryakian, "Sociology and Existential Phenomenology," in Maurice Natanson, ed., *Phenomenology and the Social Sciences*, I (Evanston: Northwestern University Press, 1973), 199–201.

[21] John Dewey, *Democracy and Education: An Introduction of the Philosophy of Education* (New York: Macmillan, 1916; reprint, New York: The Free Press, 1966), 104, notes that educational aims "must be an outgrowth of existing conditions" and that they must be "based on a consideration of what is already going on; upon the resources and difficulties of the situation."

is useful to organize a set of major units or topics of study that focus on each of the general objectives previously outlined. In so doing, it is important that teachers not only take into account the necessity for integration and progression in the curriculum but bear in mind their students' perspectives and perceived needs at that time.[22] In the process of translating general objectives into a general program outline they consider what they would like to do against what is indeed possible in arriving at a realizable general program outline.

A historian is to teach a course in the literature of the classic period for non-music majors. Having outlined some general objectives—students will study the music of a few classical composers in depth, will be given the tools to listen more effectively to classical literature, and will be actively involved in the listening process by the use of scores, graphs, and other visual material, among others—he draws up a general program. At this point he considers not only what he would like to do but a variety of practical realities, including the time limitations of the course, the expected size of the class, and his own knowledge of and specific interests in the subject. His general program is stated as follows: "This course of illustrated lectures will focus on the music of the Viennese classical school with Haydn and Mozart as principal exemplars. Two central themes will be addressed, notably, the essence of the classic aesthetic (where classicism is apposed to romanticism), and the nature of the formal contributions by Haydn and Mozart, illustrated with instrumental, choral, and operatic examples. A sketch of some important pre-classical social and musical developments will set the stage for the body of the course in which the two above-mentioned themes will be taken up with reference first to Haydn, then to Mozart. A consideration of Beethoven as a transitional figure between classic and romantic music will serve as a conclusion to the course."

The teacher then develops specific objectives, decides what specific elements will be included and in what balance, and considers not only the necessity for curricular continuity and structure but its integration within student experience. She or he systematically fills out the detail of objectives with a hierarchy of objectives at lower levels of generality. I am not thinking here of objectives construed only in behavioristic terms but of the wider notion of objectives whose outcomes might be apprehended intuitively as well as rationally.[23] The tension between the desirable and the possible is again evident in the formulation of specific objectives.

A music educator is to teach a graduate course in the foundations of music education. General objectives have been articulated. Not only will students be introduced to important literature in the foundations of music education, but they will actively participate in the learning process. Based on these and other objectives, she has drawn up a general program outlining the main elements of the course. It is to be a three-part seminar based on selected readings in the history, philosophy, and sociology of music education, framed by an introduction and conclusion. Specific issues have been chosen within each of these areas. Historical foundations of American music education are to be examined in terms of their European and indigenous roots, each reviewed in historical sequence. Philosophical foundations are to be broken down into three major topics: the nature of musical experience, the nature of educational experience, and the place of music in education. Sociological foundations are similarly to be examined topically with reference to social context and musical meaning, and the concept of music education as socialization. Following from this general plan, she now develops specific objectives. For example, respecting the philosophical foundations, her specific objectives may be stated as follows: "Students will be acquainted with the ideas of Dewey, Ives, Sessions, Langer, and Copland as they relate to the experience of Art (and music)." "Students will read and discuss Dewey on educational experience, Whitehead on the aims of education, and Bruner on the process of education." "Students will be familiar with the ideas of Plato, Schiller, and Read on education through Art (including music)."

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[22] This approach does not preclude consultation with students so that their perspectives and perceived needs at a particular time are taken into account. It may be compared with the principles of "continuity" and "interaction" of experience elaborated in John Dewey, *Experience and Education* (New York: Collier, 1938), who further writes:

> He [the teacher] must survey the capacities and needs of the particular set of individuals with whom he [or she] is dealing and must at the same time arrange the conditions which provide the subject-matter or content for experiences that satisfy these needs and develop these capacities. The planning must be flexible enough to permit free play for individuality of experience and yet firm enough to give direction towards continuous development of power [p. 58].

[23] The problem of non-scientific knowing, of modes of aesthetic perception, is illustrated in the work of twentieth-century aestheticians, including Susanne Langer, *Philosophy in a New Key*; Langer, *Feeling and Form* (London: Routledge and Kegan Paul, 1953); Langer, *Mind: An Essay on Human Feeling*, 3 vols. (Baltimore: Johns Hopkins Press, 1967–82); Virgil C. Aldrich, *Philosophy of Art* (Engle-

The teacher is now in a position to develop a specific plan based on the specific objectives previously formulated. There is presently a vogue of presenting this plan in terms of specific "instructional objectives" or "intended learning outcomes"—the result of positivistic thinking in music education where the process becomes of lesser importance than the resultant product.[24] One approach to emphasizing process is to list activities/projects or repertoire to be studied.[25] It is important to see this list of activities as a plan, not an imperative; as a dynamic, not a static entity. Within it are the implications for change along the way, of subsequent alterations as the teacher deems necessary. The teacher may discover, for example, that certain repertoire does not suit the particular student or ensemble as well as other pieces that are substituted for the original selections. The metaphor of journey is implicit; the notion of curriculum as a journey drawing from the roots of a teacher's experi-

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wood Cliffs, NJ: Prentice-Hall, 1963); and Nelson Goodman, *Languages of Art: An Approach to a Theory of Symbols* (Indianapolis: Hackett, 1976). The admission of non-scientific ways of knowing admits the concept of behavior as an index, rather than an absolute evaluative measure.

[24] For a discussion of the requisite parts of an instructional objective envisaged in a product-oriented approach, see Joseph A. Labuta, *Guide to Accountability in Music Instruction* (West Nyack, NY: Parker, 1974), chapter 2, Figure 22.

[25] Examples of specific curricula include the following syllabi: McGill Conservatory of Music, *Requirements for Practical Examinations, Piano* (Montreal: McGill Faculty of Music, January, 1984); Royal Conservatory of Music of Toronto, *Piano and Theory Syllabus* (Toronto: University of Toronto, 1983); and "programmes of work" in John Paynter, *Music in the Secondary School Curriculum: Trends and Developments in Class Music Teaching* (Cambridge: Cambridge University Press, 1982), Appendix I. The Music Educators National Conference, *The School Music Program: Description and Standards*, 2d ed. (Reston, VA: Music Educators National Conference, 1986) is an example of a less specific curriculum.

ence but becoming an integral part of the student's experience as well.[26] The teacher is again constrained in drawing up this plan by a tension between the desirable and the possible—between what she or he would like to do and can do.

A college piano teacher recognizes that his student has several significant repertoire gaps. The student may have performed technically more difficult or longer works without ever playing some of the technically easier or shorter works, and have had little exposure to chamber music or the concerto literature for piano. The teacher's general objective is to remedy these omissions and, accordingly, he constructs a general plan of action. After thinking through his more specific objectives for the student, deciding what level and quantity of repertoire can be assigned to this student at this particular time, determining which specific technical problems can and must be addressed, and considering the various repertoire options open to him, among other issues, the teacher then formulates a specific plan: "This semester, the student will study the following pieces and will prepare them from memory." He lists the specific repertoire (mentally or in writing). The list is only a plan. It allows for change during the term. If he has assigned too much or too little material, an adjustment may be made. In the event that the student would prefer to play a piece not listed by the teacher, a substitution may be made. This approach allows the teacher and student a flexibility that they would not have if the specific plan were conceived of as an imperative.

Specific lesson strategies are now developed from the curricular plan. Here, the teacher breaks down the material into units appropriate to such specific circumstances as lesson length, student age, level and type of instruction, and decides on the particular method of instruction to be employed in each case. Each strategy represents the curricular plan in microcosm and exemplifies a tension between what is desirable and what is possible under a set of specific circumstances. Within it are the seeds of change—the possibility (indeed, the likelihood) that it will have to be changed in the context of the instructional process.

Tomorrow a graduate class will continue a discussion of assigned readings on structural/functional and processual approaches to the analysis of social events in music. Yesterday, the class examined approaches by Silbermann and Adorno, and tomorrow they will discuss those of Ezkorn and Honigsheim. The class numbers six, is being conducted as a seminar, and meets twice a week. Each student is responsible for leading the discussion of an assigned reading and each 75-minute period has been broken down into three parts, so that during the course of a week all presenters may have equal time. In preparation for this lesson the teacher refreshes her mind as to the material to be covered and thinks through the specific aspects that she would like to contribute, envisioning, as it were, the coming class session and mentally preparing for it.

Now a specific lesson strategy translates into an actual lesson in which plan takes some real form in the classroom. At this point curriculum directly interfaces with instruction, highlighting the centrality of the instructional process within music education.[27] During the course of instruction, the teacher intuitively recognizes the dialectic between what is desirable and what is possible, and improvises strategies as he or she goes along. Thus, resultant curriculum may not equate intended curriculum.

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[26] This parallels Dewey's notion of ends-in-view as means-ends rather than as ends in and of themselves. The notion of journey as a metaphor for curriculum is outlined in Herbert M. Kliebard, "Metaphorical Roots of Curriculum Design," in Pinar, *Curriculum Theorizing*, 84, 85. The present emphasis on the centrality of the teacher's experience in curriculum constitutes an extension of Dewey's notion of the centrality of the student's experience in the curriculum.

During the course of a theorist's meticulously prepared lecture/presentation on the 6-4 chord, replete with piano and recorded examples and handout sheets, it is clear that several students are not following his explanation. When asked about a particular example, he is certain that there has been a problem in his exposition. He now must take a different approach to ensure that the students comprehend his meaning. So he explains the concept in another way, using different examples, improvising as he goes. As a result, he cannot cover all the material he intended to present and the actual lesson is somewhat different from his plan.

The teacher's response to the lesson is a subjectively perceived one and relates to several factors: personal reflection on her or his professional training, cultural background, attitudes, beliefs, values, knowledge base, and external influences—those factors that form the source of the general objectives in the first place; perception of what other actors in the process such as students, colleagues, administrators, and parents might think of this curriculum; and consideration of the various temporal, spatial, numerical, causal, ethical, and aesthetic constraints operative at a given time and place. Evaluation and constraint impact at each phase of the curriculum design process from the formation of general objectives to the translation of curriculum into instruction in the context of the lesson, resulting in a dynamic process where all the elements are subject to review or change.

A thesis adviser completes an intensive session of working through a dissertation proposal with a doctoral student, and reflects on the way the session went. Is this student working well? Should she give more assistance to the student? If so, what form should that assistance take? If not, what specific information would be of use to the student? She mulls over the session that has just passed, evaluating what has happened and preparing either to proceed as in the past or to modify her approach. In so doing, she reflects on her approach to thesis supervision in general, or in respect of this particular student, and a curriculum design process begins anew.

The curricular design process just described has several general implications for music education conceived as extending from elementary to advanced levels of musical instruction. It provides a means whereby teachers may systematically conceptualize the subject that will be presented to the student. Percy Scholes writes that "exposition" (or the explanation of musical concepts) is an art that music teachers ought to be interested in.[28] The ability to frame apt or simple but accurate definitions, to clarify musical concepts so that explanations are uncluttered by extraneous detail, is a part of this art. Teachers must also clearly see the structure of concepts and their relationship one to another before they can impart it to their students and the approach outlined above is of assistance to them in their preparation for this task.

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[27] See Jorgensen, "On a Theory of Music Pedagogy."

[28] Percy Scholes, *Music: The Child and the Masterpiece. A Comprehensive Handbook of Aims and Methods in All That is Generally Called "Musical Appreciation"* (London: Oxford University Press, 1935), 104.

Also, this process suggests how teachers can systematically ponder their personal strengths and weaknesses, examine their objectives for musical instruction, think through their subject matter, and weigh the relative emphasis on each facet of the material. To follow it is to ensure that they will have considered not only the philosophical aspects of their musical curriculum but the practical ones as well and *vice versa*.

This paradigm of curriculum design also dignifies the teacher's task. The curriculum becomes a way by which music teachers express their professional judgments as to why, what, how, when, and where aspects of music should be taught. Rather than being treated as technicians who use prepared methods without examining which fit best with their objectives in a given set of circumstances, teachers can select the approaches that are, in their professional judgment, appropriate for their personalities, professional training, and experience, the particular and changing circumstances in which they find themselves, and the perceived needs of their students.[29]

Further, this curriculum-design process implies that the teacher articulates a rationale for the curriculum before developing specific curricular content. Each aspect of the curriculum therefore has a philosophical base; each part derives from the prior phase. Because the teacher has first addressed the philosophical questions—the questions, why, what, when, where, and how—each element of the curriculum takes on additional meaning for the teacher, empowering his or her teaching.

As well, the use of this approach gives added meaning to the curriculum, which becomes not simply a string of topics one after another designed to fill in the time available but a significant, developmentally sequenced body of substantive content. The curriculum is expressed not simply as a list of generalizations but as a highly specific set of statements developed for given students in a particular milieu.[30] Moreover, its meaning is derived not only in terms of the parts of a particular course, but more broadly, with respect to the various courses within a given program, or music courses within the available school or university offerings.

The use of this curriculum design process constitutes a discipline for teachers, of particular assistance to those who as yet have had relatively little experience in building curricula. Any art requires detailed and meticulous preparation. As Scholes notes, teaching a class in music listening is not just a matter of walking "into the classroom with a couple of gramophone records in your hand and a couple of vague ideas in your head."[31] The teacher's respect for the art of exposition leads her or him to develop the curriculum carefully in order to present material in the most effective way.

And last, this approach highlights the unique contribution of each teacher, his or her individual worth, and the importance of divergent visions and different perspectives in music teaching.

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[29] A view of the teacher as an artist, as transcending the role of technician/craftsperson—a function that itself requires imaginative thinking—is portrayed in Vernon Howard, *Artistry: The Work of Artists* (Indianapolis: Hackett, 1982).

[30] Joseph J. Schwab, "The Practical 3: Translation into Curriculum," *School Review* 81 (1973):501-22, develops four aspects that he considers to be the essence of curriculum: teachers, learners, subject matter, and milieu.

[31] Scholes, *Music: The Child and the Masterpiece*, 105.

# The Bachelor of Music Degree and the Marketplace

George L. Rogers

Higher education in the United States has traditionally encompassed both the idea of the liberal arts and the concept of professional education aimed at preparing individuals for a specific vocation. These somewhat incompatible ideas coexist in many universities in surprising harmony.

In music schools and departments, for example, some students may be pursuing a Bachelor of Arts degree, a broad curriculum that is not intended to prepare the student for a specific job. Other students are in the Bachelor of Music Education program where they prepare for a position in the elementary or secondary schools. The Bachelor of Arts students usually understand that their degree does not prepare them for a particular vocation. The music education students, contrariwise, know their preparation is for a particular type of job and that they have a reasonable chance of finding employment in the field as a vocal or instrumental music teacher.

What, then, about the training and expectations of the third category of undergraduate music students, those in the Bachelor of Music curriculum? Their curriculum contains a high percentage of music courses, 65% being the standard of the National Association of Schools of Music. The B.M. degree is considerably narrower than the other two undergraduate music degrees, which generally contain from 33% to 50% music courses. Those students in a B.M./performance degree (as contrasted with other B.M. options such as music theory) are preparing for a career that begins with an audition, or, more realistically, with many auditions. Advanced students are groomed very carefully on solo repertoire and on particular orchestral excerpts (or arias or other standard repertoire in the case of vocalists) in order to do well in the auditions. Their training is thus quite specific to a particular vocation.

This is all as it should be, assuming that the Bachelor of Music student, like the prospective music educator, has a reasonable chance of finding employment. Both, after all, are in professional programs and are not ostensibly in college solely for their enrichment. (A 1977 study by Steven Baxter provides objective evidence that both applied music students and music education students are optimistic about their chances for employment.[1]) The problem is that B.M. and B.M.E. students do *not* have equal chances to do that for which they have prepared. Beginning music teachers are certainly not guaranteed a job upon graduation, but compared with the B.M. students, the prospects for teachers are very good indeed. For the present, I shall leave aside the employment opportunities for Bachelor of Music graduates in music theory or other areas and focus on the opportunities for performers.

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[1] Steven G. Baxter, "The Relationship of Self Concept and Career Choice Among University Music Students" (D.M.A. diss., University of Kentucky, 1977), abstract.

### Supply and Demand

During a recent year (1 July 1984–30 June 1985) nearly 12,000 music degrees were awarded by member institutions of the National Association of Schools of Music. Of this number, approximately 2,100 were performance degrees earned by instrumentalists who play orchestral instruments.[2] In another recent year, 1986, there were fewer than 800 vacancies in professional orchestras, chamber groups, and armed services bands in the U.S. and Canada advertised in the *International Musician*.[3] Sixty-four percent of these positions were part-time. Assuming that the B.M. graduate can compete successfully with musicians with advanced degrees, there is a best-case scenario in which the well-trained instrumentalist with a bachelor's degree has about one chance in three of getting what will probably be a part-time position. More realistically, adding in the non-NASM graduates, those persons with other degrees or nondegree study, and the enormous backlog of surplus musicians from past years, the chances for employment as a performing classical musician are really very poor. The chances for *full-time* employment, even for the better B.M. graduates, are miniscule.

Considering further the total time and money invested in music study, including four or more years of college, the situation for many graduates must be very frustrating: they find themselves unable to do what they have spent much of their lives preparing to do. As one perceptive Bachelor of Music student stated, "I'll graduate with virtually no place of employment other than a factory job."[4]

Are things really that bad? Certainly not all positions are advertised nationally, and there are performing opportunities outside the United States and Canada. (There are obviously music schools and aspiring performers in other countries, as well.) In addition, certain B.M. students will qualify to compete for college teaching positions after completing a graduate degree. In college teaching, however, the desirable jobs now attract fifty or more applicants each.

It could also be argued that students graduating from the top conservatories and schools of music have a better chance for success than students trained in "lesser" institutions. There is some truth in that statement, although at the undergraduate level outstanding individual performers can be found in a variety of music schools and departments. All of our major schools of music can point with pride to certain luminaries among their alumni who are very successful as professional performers. A recent survey of music placement offices in six such schools revealed that one school reported 84 alumni who performed with the top five orchestras (New York, Cleveland, Philadelphia, Chicago, and Boston).

Only one of the institutions surveyed, however, was able to provide employment statistics for the majority of its graduates. Although the information provided was not very recent (compiled December 1984), it was based on a commendable 85 percent return rate. These data were for the year following graduation and showed that 48 of 87 Bachelor of Music/performance graduates (55%) were attending graduate school or studying privately. Thirteen graduates were listed as "no information" and seven were employed in nonmusic positions. Eleven were employed part-time as performers. Only seven of the 87 B.M. graduates (8%) were employed by full-time orchestras, opera companies, or other performing groups. These figures may or may not be typical of other top schools: the information is simply not available.[5]

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[2] Higher Education Arts Data Services, *Music Data Summaries, 1984–1985* (Reston, VA: Higher Education Arts Data Services, 1986), Chart 1.

[3] Based on my own survey of "Help Wanted" ads in *International Musician*, January–December 1986.

[4] Stephen Jay and Carol D. Smith, *Music Career Curriculum Development Study: A Study of the Relationship of Curricula to Employment* (Washington, D.C.: Office of Education, Department of Health, Education, and Welfare, 1976) (ERIC ED 114596), 23.

For string players the situation is certainly better than for wind or percussion majors, since comparatively few string players are competing for more jobs: the majority of orchestral openings naturally are for strings. In the United States, students enrolled in high school bands outnumber those in school orchestras by almost 10 to 1.[6] The comparatively few string players who are trained in the schools appear to be in demand at the college level, for the ratio of wind and percussion players to strings changes to about 3 to 1 in college.[7] If there is a bright spot in the classical musician's employment picture, it is for string players.

What about instrumentalists who free-lance full-time in large cities? There is no doubt that some individuals are quite successful at this, although the common wisdom would suggest that many such persons are involved with the recording industry in New York, Los Angeles, and a few other cities. Such opportunities are thus probably not available to many instrumentalists. It would be difficult to determine how many musicians are full-time free-lance players, but one figure that may be typical is that only 12 percent of the members of the Milwaukee chapter of the American Federation of Musicians were listed as full-time musicians.[8]

For singers there is no central "bulletin board" of job vacancies comparable to the *International Musician*. For operatic positions, the New York agencies, apprenticeship programs, and competitions function in place of open auditions that are publicly announced. On the surface it might appear that singers have even fewer performance opportunities than instrumentalists, and this is supported in part by numbers from the U.S. Bureau of Labor Statistics. The most recent published report (1978) of that agency lists 127,000 persons as being employed as professional musicians, with only 23,000 employed as professional singers.[9] These figures, however, include all types of musicians in all types of situations, and are not limited to classical performers.

Looking below the surface, however, many singers, organists, and pianists serve and perform quite professionally in church music situations, albeit on a part-time basis. Many, of course, serve as church choral directors or music "ministers," and some of these positions are full-time. It would be impossible to determine accurately the number of singers and keyboard players employed in church music, but church choirs with paid conductors, singers, organists, and pianists certainly outnumber professional orchestras. I do not suggest that all such performers will find jobs, but a bachelor of music degree seems a reasonable choice for church musicians who will actually be performing regularly and getting paid for their services.

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[5] This information is based on a survey conducted in June 1988. Most persons in charge of placement, alumni relations, or public relations offices cited the understandable difficulty of locating graduates and eliciting responses—and consequently had no figures to report. The sample is admittedly small and many fine schools were not included. The six polled, however, are certainly among the best in the world: Boston University, Curtis Institute, Eastman School, Indiana University, Juilliard School, and the University of Michigan.

[6] Logan C. Osterndorf and Paul J. Horn, *Course Offerings, Enrollments, and Curriculum Practices in Public Secondary Schools, 1972-73* (Washington, D.C.: U.S. Printing Office, 1976), 236.

[7] *Music Data Summaries*, Chart 1.

[8] Jay and Smith, 14.

[9] *Performing Arts and Entertainment-Related Occupations* (Washington, D.C.: U.S. Department of Labor, Bureau of Labor Statistics, 1978) (ERIC ED 158137), 9, 11.

Performers in all areas, but notably pianists, are sometimes able to find enough private students to operate full-time studios in their homes. A typical piano studio operates in the evening hours (after school) and usually serves a young clientele, from perhaps age 5 through high school. A performance degree is not inappropriate as preparation for such teaching, but even more appropriate would be a teaching or pedagogy degree, including the study of child psychology, developmental psychology, learning processes in music, specific pedagogy and materials for the particular instrument, and guided field experiences with young students.

Finally, there is the argument that the Bachelor of Music degree is not really supposed to prepare the performer for the professional world, but merely serves as a foundation for graduate study. According to this position, the candidate will be ready to compete for performance positions or college teaching jobs after completing a master's degree and probably a doctorate. Again, there is some truth in this argument, but there are at least two problems with it.

First, many persons with a doctorate in performance still cannot find full-time employment in music: I know personally several musicians holding a B.M., an M.M., and a doctorate in performance who cannot find a playing position, a college teaching job, or even a high school teaching position—the "last resort" of public school teaching being eliminated because of a lack of teacher certification. I have no objective evidence on how common this situation is, but it is probably not rare. The advanced degrees are necessary when competing for college teaching positions, but additional degrees mean very little in and of themselves when auditioning for a performance position.

Second, many B.M. graduates begin graduate study primarily because they are unable to find work: a graduate assistantship is an alternative to a job. A 1984 study revealed that for 68 percent of performers "unemployment was the primary motivation for doctoral pursuit."[10] To say that performers seek the additional study in order to find employment later is toying with the truth, since many of these students have few alternatives but to enroll for more and more schooling. Yes, they will be better prepared after graduate study, but the jobs are still very scarce. For many persons, graduate school only postpones the unemployment problem rather than solves it.

[10] Alexandria Holloway, "A Descriptive Analysis of Musical Experiences, Employment Patterns, Career Aspirations, Curricular Content, and Attitudes of Doctoral Aspirants in Music" (Ph.D. diss., Florida State University, 1984), abstract.

## A Buyer's Market

It is axiomatic that the very best and most determined young musicians will succeed as performers, but such persons are a small minority of those who complete a Bachelor of Music degree. The present system does one great disservice not only to the vast majority of B.M. students who will not be able to find work, but also to those who *do* find work—and to the profession as a whole. The oversupply of labor makes music a buyer's market and means that few musicians will ever be properly compensated for their talent and years of training. In other professions, notably medicine and law, professional organizations see to it that enrollments in professional schools are limited, the quality of physicians and lawyers is kept reasonably high, and (not incidentally) the fees for services are likewise kept high.

By continuing to graduate thousands of excess performers each year, schools of music insure that the few musicians who do find employment will probably be greatly underpaid in comparison to other persons with similar training. This also appears to be true in college teaching: teachers in the arts and humanities are usually paid less than those in science or engineering. This discrepancy may be a reflection of our society's values, but it is also a matter of an oversupply of cheap labor.

Perhaps artists are cursed by the very nature of their field. Although serious musicians and other creative persons are popularly portrayed as suffering for their art, the fact is that we are engaged in an activity that is highly rewarding. Although some of us may become jaded about our profession, we should remember that for most people music is engaging, enriching, and pleasurable. Many young persons are attracted to music and want to study it seriously at the college level.

Comparisons with other disciplines, although useful, are not entirely realistic. Community orchestras or other amateur music groups are numerous, but I am not aware of any amateur dentists or lawyers who practice without compensation for the sheer joy of their craft. Although no one should be blamed for the popularity of our art, those of us who guide young people should make a distinction between the love of music and the vocation of performing it.

## What Happens and Who Cares?

What happens to the many potential performers who graduate with a Bachelor of Music degree? It is obvious that they do not all find full-time employment as musicians. In my experience it seems that many B.M. graduates move on to other options both in and outside of music: graduate music study, law school, retail sales, the food-service industry, or music education, for example. Although many corporate employers are willing to train college graduates for various positions, such employers traditionally favor the liberal arts major with a broad background rather than the person with narrow professional training.

Most entering freshmen music students come to college knowing little about music beyond what they learned in their high school performing groups. They certainly are not aware of the employment statistics cited above. Most, it seems to me, love music and want to excel in that field; they are not concerned so much about employment as about being successful in the immediate environment of the music school. A study of music curricula and employment conducted by the Wisconsin College-Conservatory, Milwaukee, in 1976 found that undergraduate music students were indeed "totally engrossed in the day-to-day business of music training" and did not look ahead to life after graduation. The same study called for a course or seminar for music students on job opportunities and alternatives.[11] It is clear that students should not be deceived or misled about the possibility of employment, but it seems to me that our responsibility as faculty members goes beyond not deceiving students: we should be concerned enough about their futures to volunteer realistic advice when students are most naive and vulnerable. If freshmen receive frank, accurate, and unsolicited advice from music faculty as to the probability of finding a job and still decide to pursue a B.M. curriculum, fine: everyone can enter the process with eyes open and a clear conscience.

It is impossible to generalize about the counseling students receive at various institutions and about individual students' expectations for employment. What is described below does not occur in all music schools or departments and certainly not in all applied studios.

But what does happen, at least in some cases, is that capable freshmen are flattered into pursuing the B.M. degree ("Your audition was of such high quality that you are being recommended for the Bachelor of Music program!") with very little other career advice being given. Often little is said about jobs by the applied teacher or academic advisors in the course of the next four years. The student, likewise, is content to live from day to day and avoid awkward discussions, at least until he or she is faced with graduation and the possibility of doing something other than attending college. Interestingly, this flattery seems to go on at both small and large institutions. Which students are selected for the prestigious B.M. depends more on their ability relative to their classmates than on their chances of being successful as professional performers. There are almost certainly "chosen" performance majors in some schools who do not perform well enough even to be admitted to other schools of music.

Even where "B.M. flattery" is completely absent, there is always a possible problem with some students who elect the performance curriculum but are badly mistaken about the extent of their talent and their chances for a performance career. As Bernard Dobroski states,

> Students shouldn't pursue music degrees just because they love music or have achieved recognition in high school music programs. It's difficult, though, for a 16-year-old student to know what path will lead to personal success.[12]

Again, the need for good advising seems obvious.

Some students in the Wisconsin study were aware of being used to showcase the school or department.[13] This feeling is probably not unique to students in the three music schools that participated in the study, and may be a rather common perception among students who are on music scholarships. Obviously there is a trading of talent for scholarship funds and this is not inherently bad: the students receive an education and the institution secures talented students. It seems, however, that the school gets the better part of the bargain, particularly when the new B.M. graduate discovers that the performance skills that were valued by his Alma Mater do not interest professional orchestras or opera companies.

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[11] Jay and Smith, II, 15. (This study was based on data obtained from students and faculty at three music conservatories in the U.S. and from interviews and seminars involving professional musicians in the Milwaukee area. Despite the longstanding discrepancy between college music curricula and the music marketplace, this is the only known institutional investigation of the problem.)

[12] Bernard J. Dobroski, "Choosing a Music School," *The Instrumentalist*, October 1986, 82.

[13] Jay and Smith, 15.

Certainly many faculty members do care very much about the future of their students and give them realistic and truly helpful advice. Other teachers are concerned about their students' futures, but are understandably more concerned with their own future and job security. Saying nothing seems an innocent way of keeping one's studio and course-load full, particularly in situations where B.M. students earn more credit for lessons than other students and thus help fill up the teacher's load.

It seems clear that there are two different but related problems under discussion. The first is the oversupply/unemployment issue, and the second is the question of good advising for college music students. In other words, the second problem consists of telling our students about the first problem. The relationship between the two is as close to a clear-cut cause and effect situation as we are likely to find in a complex society. The oversupply of musicians will not be changed quickly in any case, but it is likely to become more and more serious if we do not improve the advising process.

But wait: if the music business is a matter of supply and demand, can we somehow increase the demand for performers and put more of them to work? That would not be easy. Although many professional orchestras are thriving, others are facing serious financial problems resulting in strikes, shortened seasons, or bankruptcy.[14] The situation for some opera companies is probably not too different: the municipal opera that I have attended for the past five years recently closed down in the middle of the season. Even in commercial music, technological advances such as synthesizers and drum machines enable the local pop musician to perform with fewer sidemen, thereby decreasing performing opportunities.

Given the present state of the business of music, then, it seems rather foolish to think that the number of professional performance opportunities will soon double or triple to accommodate all of our graduates. The idea of increasing the demand for performers' services to solve the unemployment problem is not a realistic short term goal and is not directly under the control of college music teachers. There is also very little we can do about the current surplus of musicians already in the field. My suggestions, therefore, focus on the root of the problem, which *is* under our control: the advising of students and the relevance of their college curriculum.

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[14] Symphony orchestras that have recently experienced such troubles include those in Detroit, Honolulu, Nashville, New Orleans, Oakland, Omaha, San Antonio, San Diego, Tulsa, and Columbus, Ohio. Most of these problems were serious enough to be publicized in the *International Musician* in 1986, 1987, and 1988.

## RECOMMENDATIONS

I do not suggest that schools of music eliminate the B.M. degree or put themselves out of business. What I propose is reasonable, is within our grasp, and should be helpful to all concerned:

1. Students should receive realistic counseling as freshmen concerning various degree options; they should not be flattered into a B.M. curriculum in which they spend four years preparing to compete for jobs that simply do not exist. If the extraordinarily gifted (or determined) musicians want to pursue the B.M. after knowing the facts, fine. A useful criterion for deciding which students are "extraordinarily gifted" is that in most cases they should show a clear potential to perform better than their applied teacher. The vast majority of full-time college applied teachers—let us be candid—are, by definition, not full-time performers and should not encourage students less capable than they to compete for jobs they themselves did not secure. This does not apply to those faculty members who do perform full-time and teach part-time, or to those who are retired performers. Other exceptions to this rule could be noted among students and teachers in our most prestigious schools and conservatories, but let us not forget that the vast majority of the thousands of B.M. students in this country are *not* attending such schools. The exceptions do not negate the rule.

2. Most students deciding rationally to pursue the B.M. degree should get as broad a preparation as possible. This might include options for electronic music, recording technology, music merchandising, arranging, commercial music performance, and other vocations usually subsumed under the heading of "music industry". The Wisconsin report called for just this kind of versatility, rather than teaching students how to play "one kind of music on one instrument."[15] Although many traditional schools of music would be slow to adopt such nontraditional curricula, some might be willing to offer elective courses or minors as a part of the traditional B.M., options that would help students find employment. In any case, one wonders how long students will continue to be attracted to schools that manifest an outdated view of professional preparation. Students pursuing computer science degrees expect to use the latest in equipment and techniques so as to be prepared for the available jobs. They do not spend four years studying the slide rule or abacus. I do not equate art and science, but students in a professional curriculum have a right to relevant preparation.

3. Music schools should do away with any provision for granting more credit for applied lessons to undergraduate performance majors than to Bachelor of Arts or music education students—if the policy causes undergraduates to be guided into the performance curriculum for the wrong reason. The usual rationale given for such a policy is that performance majors are ex-

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[15] Jay and Smith, 40.

pected to practice more and hence they should receive more credit. Although outwardly logical, such an arrangement, in some schools, provides a strong incentive for applied teachers to fill their studios with B.M. students (fewer students equalling a full load in terms of credit hours), thereby aggravating the problems discussed above. B.M. students should study applied music longer (throughout the degree program) and thus will usually cover more advanced literature than B.A. and B.M.E. students, but all should receive the same number of credit hours for private lessons. Students' practice time and the instructor's performance standards are very much an individual matter in each studio and probably do not correlate well with the credit hours assigned.

4. Although music education is not a profession to be entered casually, the bright and talented musicians who express any interest in teaching at any level should be encouraged to pursue the B.M.E. degree. These persons, in many cases, are desperately needed in the schools, where they stand a good chance of being employed in music on a full-time and long-term basis. A generation of talented and dedicated musician-educators would soon provide a better trained freshman class for the school of music that takes the training of music teachers seriously. Many fine departments and schools of music have known for years that we really do reap what we sow!

   The myth persisting (in some places) that weak performers or nonmusicians make good school music teachers should be laid to rest. The truly successful music teachers are good musicians, and the best teachers are outstanding musicians. (The exception to this usually is an individual who has superlative motivational and organizational skills and thus can partially mask a lack of musicianship.) It is difficult for any teacher to lead others where he has never been in terms of musical style, intonation, phrasing, interpretation, or music literature.

   A degree in music education has never prevented the capable musician from performing, perhaps even in the local orchestra that advertises in the *International Musician*. In contrast, the B.M. degree (and the attending lack of teacher certification) has prevented countless potential teachers from getting full-time positions in the schools where they could share their musicianship with young people. As mentioned previously, this is not only a problem for those with only a B.M., but includes musicians with earned doctorates in performance.

5. Although the old concept of a B.M.E. degree as an "insurance policy" for performers is distasteful to dedicated music educators, there is some merit in considering the music education degree as the most basic and practical degree for undergraduates, who then can specialize in graduate programs in performance, musicology, theory, composition, or music education. Nearly all music professionals do in fact teach in some capacity or another: training as a music teacher seems appropriate for those who will teach music. The Wisconsin study called for teacher training for performance majors, recognizing that those who continued in music after graduation

> would very probably be teaching.[16] Even if the music education graduate decides not to teach music, and not to perform music in any capacity, he or she is still more broadly educated than the B.M. graduate and better prepared to pursue a career outside of music.
>
> College music faculty would serve their students very well by nurturing the concept of teaching and performing not as an either-or question, but as a natural and complementary marriage. Indeed, the combination of teaching and performing music is extremely common, even among many of the world's great artists. The benefits of such a combination are well worth listing.
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> A teacher who performs regularly can serve as a model for his own students and can use his performance skills as a teaching tool. Playing or singing in a group can help the public school teacher see the rehearsal situation from the performer's perspective. (Observing someone else's rehearsal techniques should stimulate the teacher to examine his own rehearsals.) Performing can be a rewarding outlet for any teacher who spends most of his time giving musical assistance to others.
>
> Likewise, the performer who teaches can benefit greatly from analyzing the performance problems of students and applying the solutions to his or her own musical growth. Teaching has a way of encouraging the teacher to focus, organize, and filter information in order to present it coherently to students. The natural interaction of students and teachers is a two-way street: teachers teach, but they also learn a great deal from students. Finally, the combination of teaching and performing helps the musician financially: many musicians, in fact, depend on the combination in order to achieve a livable income.

Although implementing the above suggestions might not *increase* college student enrollments or faculty numbers, it should not significantly decrease numbers either, since the recommendation is basically to advise would-be B.M. students to enter the field where they can be employed. Present demographics suggest a teacher shortage within the next decade, and the increased numbers of capable musicians who would be routed into music education will be likely to find jobs. A teacher shortage will also eventually help to increase salaries in the field, alleviating a drawback that now discourages some students from entering music education. Many freshmen will still elect the B.M./performance curriculum after the best possible faculty guidance, and those students will enter the field with their eyes wide open.

How shall we retain present numbers of college music faculty while guiding undergraduate music students in a more realistic direction? The answer lies partly in serving the nonmusic students and redirecting some of our efforts toward the goal of "music in general studies," a recent focus of numerous *College Music Symposium* articles and College Music Society meetings. For applied teachers and conductors of ensembles this might take the form of recruiting the many fine college musicians who are not music majors into the studios and ensembles. For other faculty it might mean broadening the academic offerings for nonmajors beyond the traditional music appreciation course, perhaps to include music fundamentals, piano, guitar, jazz history, related arts, non-Western musics, or courses involving popular music and culture. Working with nonmajors can help music faculty keep their world in perspective and provide a challenge for their motivational and teaching skills. Perhaps more importantly, such courses take music from a specialist milieu into the educational mainstream.

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[16] Jay and Smith, 44.

Such a focus on making the nonmusician more musical might ultimately result in a somewhat more human and aesthetically aware society—one in which the arts would be supported to a greater degree than presently. Broadening our efforts and focusing less on the performer, in other words, might help provide exactly the situation in which the performer could prosper.

## CODA

Like the child in the fable who shouted that "the Emperor has no clothes," persons who point out the obvious are seldom fully appreciated. I suspect that I may fall into that category, especially since the problem I describe is widespread and the solution potentially threatening. I am keenly aware that faculty in most institutions are desperately seeking *more* students. Deans and directors everywhere want Growth and Progress, that is, more and better students and faculty. How can anyone seriously suggest doing otherwise? The naiveté of my suggestions, very simply, stems from the consideration that students, even undergraduate students, are not merely grist for the mill or credit hours generated. They are people—not entirely unlike college faculty—who deserve to be treated fairly and advised realistically.

# *Book Reviews*

*"A Commonsense View of All Music": Reflections on Percy Grainger's Contribution to Ethnomusicology and Music Education*, by John Blacking. Cambridge: Cambridge University Press, 1987. xiii + 201 pp. Reviewed by Bonnie C. Wade.

This volume emerged from a series of lectures on ethnomusicological topics that John Blacking gave as Misha Strassberg Visiting Fellow at the University of Western Australia in May, 1983. Responding to a suggestion by Sir Frank Callaway, Professor and Head of the Department of Music of the University of Western Australia, Blacking conceived his lectures around consonant ideas expressed by Percy Grainger in a series of lectures broadcast in Australia in 1934 and particularly around Grainger's comments about so-called "folk" and "non-Western" music. It is clear, however, that Blacking explored Grainger's work far more comprehensively and found it stimulating. Each of the seven chapters in this newest Blacking book bears a title drawn from Grainger's work, and some substance relating to Grainger's pioneering thinking of more than half a century ago. The Grainger broadcasts are printed in an Appendix, as is an example of Grainger's meticulous attention to detail in musical transcription of folk materials.

To both Blacking and Grainger can be attributed a breadth of vision. For Grainger in the 1910s, breadth meant considering "ordinary people" (composers and performers of folk music) rather than focusing just on elite culture. For Blacking, breadth extends to all human persons. While Grainger focused his thinking on music-makers, Blacking encompasses both music-makers and listeners. The two men share a concern with the relationship of their "constituency" with received culture. In 1915, for example, Grainger made the pioneering assertion that ordinary people are musically inventive and that they invest even inherited traditional musical material with their own personal style. Blacking repeats what he has argued eloquently for some years now — that artistic cognition is a species-specific capability that all human beings possess. Further, ". . . human beings have the capacity both to use [artistic cognition] in a way that was not immediately determined by cultural tradition, and to identify it when they encounter it in the product of some other persons or society — provided that they can think *beyond* the conventions of their cultural experience" (p. 46). For both thinkers, a credo issues forth: as expressed by Grainger, it rings out "Let all the world hear all the world's music" (the title of Blacking's Chapter 7).

It would be wonderful to think that Blacking's Chapter 1, " 'The Complexity of Folk Music': Evolution, Invention and Diffusion in Music," could be the last of many such presentations by many scholars, most of whom are ethnomusicologists. Indeed, Grainger did have to speak out in 1908 and in 1915 against the prevailing idea that a folk music tradition is the product of some amorphous ethnic collective, and against the mistaken notions that music had progressed from simple to complex, with folk music inevitably simple. Is it still necessary in 1987, however, to reinforce Grainger's points with another lengthy discussion of concepts of evolution and progress in music history and defensive examples of complex music from non-Western cultures and Western folk cultures? Blacking obviously thinks it is, but I would rather leave it with this single statement from p. 21: "Percy Grainger's emphasis on the complexity of folk music and the potential musicality of ordinary people, and his belief in the value of widely different kinds of music have been upheld by the work of ethnomusicologists."[1] If people still hold to those outdated ideas, they do so because they choose to do so or because they are unaware of the refutations which are manifoldly and easily available in the literature.

What I do think needs to be restated even now is this point, which Blacking makes in Chapter 1: "An 'art-object' by itself is neither art nor non-art: it only becomes one or the other because of the attitudes of human beings towards it" (p. 25). While such a statement might lead a music, art, or literary historian to the general subject of art criticism, it leads anthropologist Blacking one step toward an overarching theme: "Art lives *in* men and women, to be brought out into the open by special processes of interaction" (p. 25).

As I read it, the theme of this book is as follows: "Life is an evolutionary process of becoming, in which individual consciousness is nurtured through collective experience and hence becomes the source of richer cultural forms" (p. 26). To understand this (indeed, to understand any of Blacking's thinking), one should digest pp. 25–26, two short pages where he presents sub-Saharan African ideas to which his research led him and which affected his own thinking profoundly. As he states them:

> There are two important premises: first, communion between people is seen *not* as the result of a unique historical event, in which individual organisms made a rational decision to co-operate in production, but as an essential feature of the biologically inherited capabilities of the species. We are born social. Our species is not human, but human-and-fellow-human. . . . A human being becomes human through other human beings. . . .
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> The second premise is related to the first: activities which might be described as ritual, aesthetic, or artistic, are seen *not* merely as part of the superstructure of human social life, but as fundamental to intellectual and social life, and as integral parts of the process of production. . . . The very real condition of individual self-realization is sharing with others, just as a healthy community depends on the creative contribution of its individual members. Individuality in community is as important as a community of individuals.

To demonstrate the point musically, Blacking gives an example of African drum patterns that could easily be played by one musician, but which Africans choose to distribute polyrhythmically among musicians, thereby showing "how social interaction can be organized in such a way that feeling and intellect combine to create both a special social process and a new cultural product" (p. 26).

Imbedded in Chapter 3, titled " 'Irregular Rhythms,' " in honor of Grainger's fascination with the wide occurrence of irregular rhythms in folk music and his attempt to explain how that could be, is a discussion to which Blacking has been leading for several years: his suggestion that music, as well as speech, is a primarily modelling system for human thought, and that the basis for it is biological. Here dance is incorporated, for clearly stated reasons. Going beyond his arguments in *How Musical is Man?*[2] that musical forms are modelled on social life and various features of social systems, Blacking argues here that "Exercise of the artistic process, of which dance and song are the most elementary products because they are contained within the body, is a special kind of exercise of sensory, communicative and co-operative powers that is as fundamental to the making and remaking of human nature as speech. Dance and song can be understood as primary adaptations to environment; with them, mankind can feel towards a new order of things and feel across boundaries, while with speech, decisions are made about boundaries" (p. 60). Creativity, inspiration, genius, unconscious cerebration—whatever it is called—is a movement of the body. Emotions are structured, inner movements of the body that acquire and are given meaning in the contexts of real or imagined social situations (pp. 78–79). "We should therefore be looking not for species-specific abilities for music, as I argued in *How Musical is Man?*, but for species-specific modes of thought that can be used in processing, structuring, and communicating sensory data. . . ."

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[1] Footnoted, of course, in the musicological tradition with a long list of references to effective scholarly refutations.

[2] Seattle: University of Washington Press, 1973.

Because humans are also by nature social, the exercise of the artistic process (including music and dance) by one human person together with other humans is fundamental to the process of becoming human. The *sharing* of ideas and feeling (i.e., the sharing of sensory, communicative, and cooperative powers) is fundamental to the process of becoming human, and when inner feelings are publicly shared, intense social interaction is most deeply experienced. Is this not one way of explaining the "universality of music" and the unique power which music has of creating a sense of human community among people who cannot otherwise communicate? (In Chapter Four, " 'The World's Most Lovely Melodies,' " feelings are discussed in the light of the work of behaviorists.)

In an interesting and not always logically connected manner in Chapter 4 and also in Chapter 5, Blacking proceeds to the problem of song texts and the distinctions between speech and song. In Chapters 5 and 6 comes the inevitable link in a Blacking work between "politics" and music—here taking Grainger's ideas about "democratic polyphony" and about "the goal of musical progress" as the point of departure. Said Grainger, all human beings have a right to music and the opportunity of artistic expression, and therefore the goal of musical progress must be not so much to create "free music" as to enable free people to be free to make music. Adds Blacking, "The value of the arts in a society depends on how they are defined and used" (p. 105 and 110). "If we want to evaluate the evolutionary status of a society and measure its health and creative potential, perhaps we should look, not to its balance of payments, the wealth of its elite, or its military power, but to the state of its collective life and the ways in which it is using artistic processes to cultivate *all* its citizens' ownership of the senses and promote their individual freedom, and to develop its power of mind and its social and cultural coherence" (p. 110). Through Chapter 6 and also Chapter 7, concerned with music in a multi-cultural society, I found it significant and helpful to think about American culture, although Blacking was couching his discussion in terms of British culture. (Chapter 7 could have been omitted from this volume, however, because Blacking has presented much of the material elsewhere.)

Readers who come to this book from the perspective of Western classical music studies will find vignettes for thought scattered throughout. In Chapter 2, on music as a means of communication, Blacking explores the matter of the personal nature of musical composition and appreciation. While Blacking does not communicate his point as clearly as he might have here, what I understand him to be saying is this: The relevance of composers' personal worlds and the relationship of those worlds to their musical output may affect what their music communicates to the rest of humanity only minimally, if at all. As Blacking says frequently in this book: The significant factor in communication is what listeners make of it, no matter what the composer intended. This is the case with unwritten music (his example: Venda music) and with written music (his example: Elgar's compositions). With regard to the "great-composer theory," Blacking says that this book is not the place to demolish it, but points out that it tends to reduce communication in society to a process of domination and submission, with aggressive leaders and passive followers (p. 33). Also in Chapter 2 we are led through Blacking's developing thought on "the individual," or as Grainger dubbed it, "personality."

The span from human evolution to artistic cognition to composition to cultural politics may seem too broad a sweep for one writer (actually, in this instance, two) to contemplate. For those of us familiar with Blacking's work, however, it seems a natural progression. I would recommend that newcomers to his thinking begin their reading with *How Musical Is Man?*, proceed to this, and keep watch in the future for further developments.

*Analysis*, by Ian Bent with William Drabkin. New York: W. W. Norton, 1987. 184 pp. *Music Analysis in Theory and Practice*, by Jonathan Dunsby and Arnold Whittall. New Haven: Yale University Press, 1988. 250 pp. Reviewed by Judith Lochhead.

The two books under review here are devoted to the topic of musical analysis. The appearance of such books reflects the growing significance of analysis in virtually all aspects of musical study within the United States. (The geographical limitation is significant and I'll come back to it later.) Analysis forms an integral part of most undergraduate and graduate programs in history, theory, criticism, and performance; and in the professional journals one can hear the analytical wheels turning within different kinds of studies. It is analysis that often provides a link between studies with differing foci; its prominent role in some studies makes it difficult to determine a historical or a theoretical orientation. Indeed, the growing interest in analytically based studies is making some traditional distinctions between disciplines seem blurred, if not meaningless.

Due to the burgeoning interest in analysis within the profession, it is all the more important that analysis itself be a subject of scrutiny. The questions that need asking are the fundamental but "hard" ones: what is analysis, what does it tell us, how does it work, and why do we need it? The books under review here either explicitly address these questions or implicitly take a position. My review focuses on these hard questions, considering other issues as they pertain to them.

*Analysis* by Ian Bent with William Drabkin is an expanded verison of Bent's article of the same title that appeared in the *New Grove Dictionary of Music and Musicians* (Washington, D.C.: Grove's Dictionaries of Music, 1980). As is indicated in the book's Preface, additions to the article include Drabkin's glossary, which defines analytical terms used in the twentieth century; discussion of developments in analysis since 1975; presentation of set-theory methodology; and amplified discussions of "Renaissance diminution theory," "figured-bass and harmonic theory," and "nineteenth-century theory" (p. viii). The first chapter of the book, "Musical Analysis in Perspective," addresses the hard questions about analysis. Chapters 2 and 3 are historical surveys of analytical approaches and concepts. This history begins with some early analytical trends from the Middle Ages to 1750. It then considers the "emergence" of an "analytical approach and method" from 1750 to the late nineteenth century and continues with a study of analysis "as a pursuit in its own right" from the late nineteenth century to recent times. The fourth and final chapter, "Analytical Method," presents eight different analytical approaches from a methodological perspective.

*Analysis* is an astonishing overview of analytical approaches to music. Its breadth of information and evident concern for detail provide a welcome depth. The book is further significant for bringing together in an illuminating way disparate ideas and materials pertaining to analysis and for raising and providing answers for the hard questions about musical analysis. My critique is an attempt not only to "review" the book's stance to these hard questions but also to review the questions themselves in an effort to clarify the nature of analysis and its role in modern thought about music.

Chapter 1 begins by considering "The Place of Analysis in the Study of Music," showing its relation to other areas within the field of musical study: its relation to aesthetics, theory, history, and criticism. The question of whether analysis is a separate or autonomous domain of study underlies these relations. Bent affirms the autonomy of analysis, but at the same time is careful to show its strong ties to other areas of study.

The decision to treat analysis as an autonomous domain is not an obvious one. It would be neither conservative nor naive to consider analysis a tool for other sorts of musical activity from technical aspects of composition to philosophical questions of aesthetics. While the topic of analysis gains focus and a certain amount of definition as an autonomous study, the sense of function and purpose of any particular analysis is lost. The analytic activity and results change, chameleon-like, with their overriding purposes, be they theoretical, historical, critical, or compositional. If one chooses to consider analysis as a separate domain of study, one must be sensitive not only to the purposes of an analysis (to argue for a historical dating of a piece, to demonstrate a theoretical concept, for example), but also to the purposes for which the analytic method was developed. Analysis itself must be established as an epistemological apparatus, not simply a means of empirical discovery.

Given the notion of analysis as autonomous, let's now consider Bent's conception of its relation to other domains of musical study—aesthetics, theory, history, and criticism. For each, Bent points out the similarities and differences and the extent to which analysis serves the goals of a particular focus of study. Below I shall consider together the domains of aesthetics and criticism and history and theory.

Bent demonstrates that both the aesthetician and the analyst are "in part concerned with the nature of the musical work" (p. 2) and shows how the work of the aesthetician feeds into that of the analyst and vice versa. The central point of contact between criticism and analysis lies in the "descriptive and judicial" (pp. 3-4) features of both kinds of activities. Analysis, by its fundamental choices of what features of a piece to include and exclude and its choices of what pieces to analyze, has an implicit judicial component, while that component is explicit in critical work. Both analysis and criticism rely explicitly on description as a means of presentation and articulation of the analytic or critical subject.

Bent demonstrates how on the one hand, analysis is a tool of historical inquiry and on the other, historical method is a "tool for analytical inquiry." Further, he claims a special relation between these two domains: "Historical and analytical inquiry are thus locked together in mutual dependency, with all things in common as to subject matter and with completely complementary methods of working" (p. 3). One might have thought that this special relation would hold between analysis and theory—but not for Bent: "Many would deny a separation of any kind and would argue that analysis was a subgroup of musical theory. But that is an attitude that springs from particular social and educational conditions" (p. 2). Bent argues that since work from other domains has contributed significantly to the body of analytical literature, there is no basis for understanding analysis as a product or a tool of theory only. While there is a good deal of validity to this argument, it nevertheless disregards the important role theoretical concepts of musical structure play in analysis.

Since analysis is dependent on such concepts, one must consider how they are articulated. It does not seem unreasonable to define theoretical work as the formulation of concepts pertaining to music's structure. Even though a concept may be formulated for a historical purpose, the activity of formulation is itself theoretical. What seems most clear about these webs of relationships among various domains of study is the fundamental role of structural concepts in analysis itself. And with this realization comes the need to clarify the relation between the specific details or data observed in the analysis and the structural concepts that are brought to bear on it. One needs to formulate or at least be aware of the analyst's responsibility to the piece as a piece rather than as, for instance, an exemplar of a theory or a component in a historical problem. Even if we sometimes understand analysis as an activity that may stand alone, as when analyzing solely for the purpose of finding out what makes a particular piece "work," then the analytical activity must still include consideration of how structural concepts determine analytical observation and what role anomalous events play in the analytical results.

In choosing to focus on the four domains of aesthetics, theory, history, and criticism, Bent slights another area, namely performance. While performance is not an overtly scholarly activity it nevertheless is affected by the activities of historians, theorists, aestheticians, and critics. With its emphasis "on the music itself," analysis seems quite easily and naturally linked with performance. Although many claim the relevance of analysis to performance in the classroom, not much work has been done to develop that relation explicitly. It is a topic that deserves more attention.

The final portion of Chapter 1 presents some philosophical reflections on the topic of "The Nature of Musical Analysis," and while the discussion is little more than a page long, it covers several important issues. Defining analysis as an activity of coming "to grips with" the music on "its own terms," Bent then turns to the problem of how one studies music that is "not tangible and measurable as is a liquid or a solid for chemical analysis" (p. 5). The choice of whether to study the score, live or recorded performances, the composer's intentions, or the listener's responses is a pre-analytic act that reflects issues beyond the activity of analysis itself, issues pertaining to intellectual and philosophical orientation. The choice itself has a bearing on analytic methods and results, and as such requires, in future critiques of analysis, a lengthier consideration. While Bent finds no agreement among analysts about what is the "correct" way to study the musical object, he does claim that the "score (when available) provides a reference point from which the analyst reaches out towards one sound-image or another, a 'neutral level' (to use the language of semiotics) which furnishes links between the creative activity and aesthetic experience" (p. 5). This claim raises a couple of questions. First, since notation itself incorporates notions about musical structures, its status as a "neutral level" of reference must be questioned. Further, the question about the relation between the visually apprehended structures of a score and the aurally apprehended structures of sounding music needs clarification. Second, since a score records the creative thought of a composer in the already structured language of notation, a question arises about how creative activity is to be defined: is it the composer's unnotated aural imagination, her doodlings at the piano, or her notated score? In other words, to use the score as a record or a path to a composer's creativity one must account for the mediating influence of notation either as a translating medium or as a determinant of creativity.

Bent concludes Chapter 1 with two reflections. The first concerns the place of differing analytic trends within encompassing philosophical and intellectual traditions. While not developing the idea, he points out that analysts (and, I would add, analytical systems) are marked by the ideas and concerns of their historical place. The survey of analytical concepts and methods places some within their intellectual context; and while I was left wanting more, it would be unrealistic to ask more from a study of this sort. In the end, I'm glad the issue is raised. Second, Bent points out that "the very existence of an observer . . . pre-empts the possibility of total objectivity" (p. 5). This observation makes clear the relation between analyst and analysis, a relation that needs to be made explicit. We value analyses for the "hearing" of pieces they present, a hearing inseparable from the analysts; and we have our students do analyses so as to help them "hear" better and perhaps more deeply. At any rate, the clearer we are about the function of the analyst in an analysis, about the role of the observer in observation, the more honest our analytic results will be.

The surveys of past and present analytic concepts and analytical methodologies constitute the body of the book (Chapters 2–4). Drabkin's glossary of terms is a welcome complement to these chapters. Anyone not conversant with all of the technical terms that pop up throughout the text (either in English or a foreign language) will find Drabkin's addition very helpful. Bent's discussion in the two central chapters is always clear and to the point. The following issues deserve special attention; others are discussed in an appendix, below.

In a reflective statement on the historical significance of Shenker's harmonic theory, Bent writes: "Schenker's harmonic theory represented a shift away from that of Rameau . . . , introducing the psychological notion of 'valuation'; that is, assessment by the hearer of chords and modulatory key areas in relation to longer-term pulls of tonality, and interpretation of them as either fundamental steps or elaborations of such steps. This valuation was the starting-point for the new way of hearing music—long-distance listening—for which Schenker has become so famous" (pp. 40–41). While there is no doubt that a psychological function is present in Schenker's notions, what we need now is a clearer understanding of the nature of that function. The need for such an understanding grows out of what seems to be a growing trend in music theory and analysis nowadays: the concern for listening-oriented (if not listening-based) approaches. It is no longer sufficient to say that a "hearing" or a "listener" is involved in an analytic approach; one must define the nature of that hearing and the nature of that listener.

A final matter has to do with the discussions of set theory in both the historical and the methodological chapters. In the former, set theory is considered along with other developments from 1960 to 1975 (among them phenomenology; the analysis of plain-chant; other mathematically-based theoretical systems; style analysis; and semiotics). Bent writes: "The proper formulation of a set theory of music has been the work of Milton Babbitt . . . , Donald Martino, David Lewin, and John Rothgeb . . ." (p. 63). He points out that Babbitt's work is "concerned with the 'ordered set' " and claims that it "belongs more properly within the realm of compositional theory" (p. 63). A little farther on Bent writes that the unordered set is more "generally applicable to analysis" and that the "most significant analytical contribution has been made by Allen Forte . . ." (p. 64). These statements are somewhat misleading. First, they bring up the issue of the relation between theory and analysis; without the pioneering theoretical work of Babbitt and the later clarifications by Lewin, Rochberg (mentioned earlier by Bent), and Martino, an analytical method could not have been developed. And further, much of the pioneering work and its clarifications were explicitly analytical. The issue, then, is not so much compositional theory vs. analysis but origins and developments and the strong relation between theory and analysis. Second, twelve-tone theory (which can be used for analysis) does consider unordered sets under combinatoriality. And third, the relevant function of ordered sets in an analytic context is not yet a dead question.

In the chapter on methodology, Bent discusses set theory as one of nine examples ranging among information theory, semiotics, phrase-structure analysis, and fundamental structure. The discussion of set theory "is an attempt to characterize the nature of the method" and not an explication of "principal terms and concepts" (p. 102). (Such an explication is included in the glossary.) Much of the discussion develops some set-theory concepts as analogs of tonal concepts in an attempt to show that what may appear as mathematically opaque to some musicians is not that dissimilar from musical notions with which we are all familiar. While there is some value in this, some of it is potentially misleading. For example, Bent compares projections of a set whose elements are "rotated" with the various arrangements of a triad, e.g., [1,3,6] may appear linearly as [3, 1, 6] and a G Major chord may appear linearly as B, G, D.[1] In neither case does the rotation of the elements negate the identity of the set or chord. While there is a certain logic in this, what Bent neglects is the role of root function in securing the identity of the tonal chord. What I wish to point out with this example is not the usefulness or the futility of showing similarities between sets and chords but rather the need to consider active issues within the field of set theory. More discussion of other ways of conceiving intervallic and pitch functions within the confines of set theory would give a more accurate impression of the instability of the field nowadays. While there are certain dominant strains within set theory and analysis, the field is not conceptually static. This observation brings up the question of what such a survey should do when dealing with contemporary issues: should it reflect the dominant trends within the field or should it present the range of conflicting concepts, showing how each contributes to the broader scholarly enterprise? This is a question I will consider further in reviewing the second book.

*Music Analysis in Theory and Practice* by Jonathan Dunsby and Arnold Whittall focuses not on a history of analytical concepts and procedures but rather on contemporary practice of analysis. Further, the authors state that it is "premature to attempt a consistent overview of analytical issues from Bach to Webern, or from Aristoxenus to Forte, and [they] intend instead to show the discipline as turning prospectively and retrospectively around the axis of the early years of this century" (p. 9). The book is divided into four parts: Part 1 includes an introduction to the topic of analysis and a short historical survey, Parts 2 and 3 focus on tonal and atonal (their term) analysis respectively, and Part 4 presents semiotic analysis.

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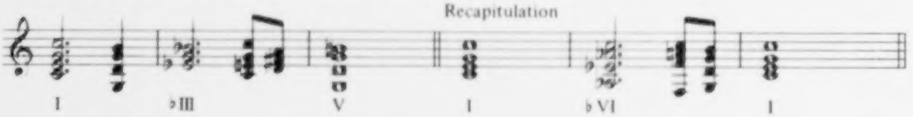
[1] Bent gives a more complex example in the book on p. 103, comparing different rotations of a dominant-seventh chord and a [0, 1, 5, 6] set.

Parts 2 and 3 form the central portion of the book. Part 2 presents the fundamental features of tonal analysis from a Schenkerian perspective. Other approaches to tonal music (such as those of Tovey, Schoenberg, and Meyer) are discussed but always "against this Schenkerian backdrop" (p. 8). The first three chapters of Part 2 are "Schenker the Theorist," "Schenkerian Analysis," and "Developments of Schenker: Katz and Salzer." In the final three chapters, devoted to other approaches, one encounters statements such as: "And there are imaginative strokes in [Tovey's] technical descriptions of tonal structure—example 11 for instance [shown as Ex. 1 here], where rhythmic notation is used to give hierarchical meaning to a tonal reduction (which is, however, meaningless from a Schenkerian point of view in its arbitrary voice-leading)" (p. 67) or "[Schoenberg's *Fundamentals of Musical Composition*] deals with the construction of themes, and with small and large forms (a concept Schenker considered quite misguided . . .)" (p. 81).

Example 1. Dunsby and Whittall's Example 11.

Example 11. Key relations in Schubert's String Quintet [first movement]



(adapted from Tovey: "Tonality in Schubert," Ex. 15)

The Schenkerian "backdrop" is in evidence in the beginning of Part 3 as well. It starts with post-Schenkerian approaches to atonal music, proceeds to analyses of "Pitch-Class Sets," "Motives," "Form—and Duration," and "Twelve-Note Composition." Along the way the authors consider the question of whether the model of "organic structure" is apt for much twentieth-century music in the chapter "The Structure of Atonal Music: Synthesis or Symbiosis?"

Discussions during Part 3 present the predominant approaches to analysis of atonal music with little or no critical thought about the fundamental concepts. For instance, in the discussion of pitch-class sets the authors write: "The fact . . . that there are twelve different pitch classes but only six different interval classes . . . remains the cause of much theoretical debate, but it will do no great harm to our present purposes to accept it . . ." (p. 133). The basis for that debate is not articulated. The significance of the decision to present predominant analytic or theoretical notions arises when one considers the purposes or reasons for a book on analysis.

According to the authors, the purpose of the book "is to stimulate interest in music theory and analysis, not so much among those already committed and informed, but among sceptics and those who have so far read little or nothing on the subject" (Preface). There are two important issues here. First, let's return to the notion of geographical limitation on the growing significance of analysis I proposed in the opening paragraph of this review. While there may be skeptics of analysis within the United States, it is clear that analysis here plays an important role in both the teaching of music and in professional scholarly work. Thus, although published by an American university press, the book seems intended for a British readership; and here one cannot help but notice that the authors of both books under consideration are British. One can only speculate that such books on analysis are linked somehow to the present state of musical research in Britain. If, however, we imagine Dunsby and Whittall's book being read by skeptics in the United States, will this book convince them? I think not, because the book does not address those questions that an American skeptic would ask: how will analysis help me in my musical projects, be they performance, history, aesthetics, listening, or whatever? The second important issue involves the question of what an introductory book on analysis ought to present. Should it present the predominant approaches to analysis or should it provide a critique of the contemporary situation, detailing the debates and the issues, showing the breadth of analytical thought, and putting the analytical approaches into a larger intellectual context? Since analysis is not static but alive and changing, an introduction should strive toward the latter alternative, partly because it seems a more responsible position and partly because a so-called skeptic is more likely to be convinced by a consideration of the underlying musical issues than by a consideration of the technical details.

Now let me turn briefly to what I have called the "hard questions" about analysis. The authors rely on Boulez for an answer to the question "What is analysis?" They quote Boulez as saying that analysis "must begin with the most minute and exact observation possible of the musical facts confronting us . . ."[2] (p. 3). The "facts" for Dunsby and Whittall are contained in the musical score. Further, they claim that "analysts who try to exclude from their accounts the impact of how the score sounds are rightly ridiculed (though there may be some ultimate purpose in trying to distinguish theoretically between 'sense' and 'sound')" (p. 10). This narrow definition of musical "fact" presents many problems when one faces, for instance, the ontological question of "What is music?" and the situation of pieces that may have no score or may have contradictory scores. It also reflects an apparent bias toward traditional Western music from the seventeenth to the mid-twentieth century.

Another issue concerns what analysis tells us. Dunsby and Whittall claim that analysis reveals features of compositions themselves but does not offer guidance on how to compose. As a means of revealing features of compositions, the authors conceive, like Bent, of analysis as an autonomous domain of study; unlike Bent, however, they are not concerned with its relation to other domains (an issue that will be discussed further below). As a consequence of this stance, Dunsby and Whittall emphasize the technical and systematic aspects of analysis as the means to revelation. Throughout the book one finds comments attesting to the need for clearly defined and systematic methods of analysis (for instance, "Tovey alone offered no allegedly systematic analytical theory to support the 'contention' [of a] 'best' explanation" [of tonal music] (p. 72).

The final issue concerns the question of "Why do analysis?" The authors write that "the main aim of the analyst is, through study, the enhanced understanding and enjoyment of particular compositions." (p. 4). Thus, analysis is a kind of personal quest for comprehension, but a quest that must be guided by rigorous technical and methodological standards. The authors are not concerned with how theoretical underpinnings of an analysis or the aims of the analyst will affect the analytical results. In fact, the activity we call "analysis" is diverse and has many purposes, some of which are not simply "enhanced understanding"; and these different purposes have a direct bearing on the results and practice of analysis itself. For instance, the authors write that the "book emphasizes 'analysis' rather than 'theory,' the practical application of particular techniques rather than the theoretical preliminaries which deal generally with technical matters." (p. 6). What is missing here is the complexity of the relation between analysis and its theoretical underpinnings. Theories are often developed from some sort of analysis. And analyses will often run up against pieces which do not fit the theoretical model. Does the analyst then throw the piece out as an inferior specimen or give up the model as inadequate? Where do the analyst's responsibilities lie—with the theoretical model or with the piece? If analysis is to be an autonomous discipline, then it must show an ability to offer a critique of its theoretical basis, to transcend any particular theoretical system as a means of understanding the work.

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[2] Pierre Boulez, *Boulez on Music Today*, trans. Susan Bradshaw and Richard Rodney Bennett (London: Faber, 1975), 18.

The relation of analysis to history is another issue. The authors assert that analysis, as yet, is not a very useful "servant of music history" (p. 7), an observation contradicted by exemplary instances of analytically-based historical studies.[3] The authors' position on the relation of analysis and history raises questions of its own. Toward the end of the introductory chapter, they write, "Historical and critical awareness will probably exceed analytical experience to begin with, and the process of putting the latter at the service of the former (to such effect that the student's awareness may eventually be transformed) should never be rushed" (p. 9). Unless an analytical method incorporates some apparatus for assessing and criticizing historical concepts, it seems that analysis is destined to fulfill the historical view, to "prove" given notions of the great works of music. Such a view precludes the possibility of analyzing the newest compositions, since there exists virtually no historical or critical awareness of these works. The relation Dunsby and Whittall assign to history and analysis is a restrictive one with problematic consequences. It is a relation that seems discordant with current notions of the relation between analysis and other disciplines in the United States.

Finally, the appearance of these two books is certainly of interest to anyone drawn to the topic of analysis as an autonomous discipline or as a tool for critical, aesthetic, historical, or interpretive studies. Both books raise important questions about the practice of musical study in the late twentieth century and about the methods and results of analysis itself. While some of these questions may ultimately have no answers, there is value in pondering them. Dunsby and Whittall's book is problematic in its uncritical focus on a limited number of analytical approaches and in its lack of concern with the relation between analysis and other disciplines. Bent's is more valuable for the detail of its historical studies, for its consideration of analysis as intimately related to other disciplines, and for the serious attention it pays to the wide variety of analytical notions that are available today. The latter seems especially valuable: without an attempt to comprehend, to embrace if you will, diverse notions of what analysis is or might be, there will be no informed, critical thought about analysis itself.

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[3] A few examples include Sarah Fuller, "Line, *Contrapunctus*, and Structure in a Machaut Song," *Music Analysis* 6 (1987):37–58; Leo Treitler, "Meter and Rhythm in the Ars Antiqua," *Musical Quarterly* 65 (1979):524–58; Richard Kramer, "Schubert's Heine," *19th-Century Music* 8 (1985):213–25.

## APPENDIX

Further comments on Bent and Drabkin's *Analysis*:

1. pp. 55–57. Bent discusses Tovey in a section titled "Empiricist Dissent," referring to his analyses as "narrating a purely musical process." At the end of the section, Bent refers to Tovey's repudiator "Hans Keller, for whom mere description is no substitute for real analysis." One wonders what constitutes "real" analysis and why description, which necessarily involves conceptual understanding, does not qualify as "real"?

2. p. 58. In a discussion of the use of information theory in various fields, Bent considers the "certain difficulties" that arise when the theory is applied to aesthetics. He writes: "For in the arts what information theory calls 'redundancy' (namely, confirmation of expectation, non-information) plays a special role in creating form and structure." This difficulty arises only if one understands "redundancy" as a negative rather than a statistical concept.

3. p. 62. In the section on set theory, Bent defines "equivalence": "Where several sets exist, certain relationships can apply among them: relationships of equivalence (in which one set can be reduced to another by some simple procedure). . . ." The definition focuses on the process of demonstrating equivalence, not on the concept itself. For someone not familiar with the term, this definition would be of limited value.

4. p. 63. Bent identifies several new developments in music analysis between 1960 and 1975, one of which is the use of phenomenological philosophy for "discourse on music." After discussing a study by Ansermet and mentioning work by Batstone and Pike, he writes, "But no working method of analysis has yet emerged." This is a curious statement since such a "working method" is presented in Thomas Clifton's *Music as Heard: A Study in Applied Phenomenology* (New Haven: Yale University Press, 1983), which is cited in the book's bibliography.

5. p. 66. In discussion of new approaches to analysis Bent writes: "Aural analysis remains a seriously neglected field and a systematic theory will become an imperative when input of musical sound to computers for analysis becomes truly practicable." While there is no doubt that aural analysis has been neglected, the use of computers seems antithetical to the idea of it.

6. p. 69. Bent identifies the journal *Theory and Practice* as the "organ of two student societies in New York State." In recent years the journal has been presented jointly by the Music Theory Society of New York State and the Students' Theory Consortium of the Ph.D. Program in Music at the Graduate School of the City University of New York. The Music Theory Society of New York State is not a student organization and the editorial committee of the journal is formed by members of the Society.

*Beethoven's Critics: Aesthetic Dilemmas and Resolutions During the Composer's Lifetime*, by Robin Wallace. Cambridge: Cambridge University Press, 1986. viii + 184 pp. Reviewed by David B. Levy.

It was prudent of Robin Wallace to advise the reader that this book on the reception of Beethoven's music in the late eighteenth and early nineteenth century claims neither to be about Beethoven's music nor to be comprehensive in scope. Indeed, a study of such magnitude in the still young discipline of *Rezeptionsgeschichte* is unthinkable until virtually every document buried in the pages of countless periodicals and daily newspapers has been brought to the light of day. While one might not agree with Wallace that such a task would be a thankless one (p. 4), increasing musicological efforts in recent years have been moving towards the realization of that goal.[1] Reaping the early harvest of this scholarship, Wallace has formulated certain hypotheses that carefully tread a path through a territory fraught with obstacles. Thanks to his grasp of contemporaneous philosophical issues and concepts, he has succeeded to a large degree.

No small part of the problem is the fact that professional musical criticism as we now understand it was itself a relatively new discipline during Beethoven's lifetime. The "oldest" of the journals studied in Wallace's book, the Leipzig *Allgemeine musikalische Zeitung (AmZ)*, first appeared in 1798, precisely at the moment when Beethoven's star was in its ascendant. But we are at a loss for any clear critical perspective dating from earlier times. The fact that music criticism was a new "art form" may be telling in its own right. Increasing interest in music by a larger and more diverse populace, as well as more serious attention paid to the power that music held on its growing clientele, led to a revitalized interest in the philosophical nature of the art. (Aestheticians may respond by pointing out that philosophers dating back at least to Plato took music very seriously indeed; but the issue here concerns the expectations of eighteenth-century audiences in regard to music, and more precisely in regard to Beethoven's music.)

Beethoven entered the musical world at a time when Enlightenment theories held sway. Many musicians, however, continued to perceive their art in terms of the eighteenth-century *Affekten*. We know that Beethoven took more than a passing interest in both theories. But the world as it existed by the time of Beethoven's death was decidedly a Romantic one. No less important is the fact that the writers examined in Wallace's book were trained musicians, some—but not all—of whom were conversant with the philosophical language of the day. Opposing concepts such as "ideal and real," "expression and form," "absolute and programmatic,"and "contrast and unity" were lively issues for these critics. Beethoven's music thus became a lightning rod for the testing of these ideas. Wallace tells us that a common thread in contemporaneous reviews of Beethoven is the struggle between analysis and interpretation. He has discovered that all of these critics attempted either to arrive at some kind of coordination of these two different modes of criticism or to weave a synthetic pattern using both strands while at the same time creating a new, and sometimes mystical, vocabulary for writing about music.

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[1] David B. Levy, "Early Performances of Beethoven's Ninth Symphony: A Documentary Study of Five Cities" (Ph.D. diss., University of Rochester, 1979)

Wallace's first chapter traces the evolving Beethoven criticism found in the Leipzig *AmZ*, arguably the most important of the nineteenth-century musical journals. The author concentrates his examination on two critics in particular, E. T. A. Hoffmann and Amadeus Wendt. There is one compelling reason for him to do so: Hoffmann and Wendt are among the only Leipzig *AmZ* critics for whom a positive identification is possible. An attempt at ascribing earlier reviews to Friedrich August Kanne is based on speculation with insufficient archival evidence to support this assumption. Of Hoffmann's five reviews of works by Beethoven, his best known is the essay on the Fifth Symphony (July 1810). Although a more thorough analysis of this essay is reserved for Chapter Five, Wallace develops Peter Schnaus's idea of Hoffmann as synthesizer of analysis and interpretation.[2] Readers familiar only with the excerpted form of the essay found in Strunk's *Source Readings in Music History* may be surprised at Hoffmann's ability to use technical vocabulary to support his fantastic descriptive language. Wallace's admiration for Hoffmann's ability to use theory and language in the service of interpretation never is in doubt.

Wendt differs from Hoffmann in that he viewed Beethoven's music with texts with greater esteem than his instrumental music because the presence of words renders the musical expression more accessible. Even more important is Wendt's notion that these texts impose a unity on Beethoven's music, a sense of which eluded the composer's contemporaries in his purely instrumental works. Wendt shared in the Kantian ideal of a high moral imperative in art. His admiration for *Fidelio* becomes understandable in this light. Wendt also was one of the earliest writers to compare Beethoven to Shakespeare in that both authors introduce the jarring element of contradiction by giving artistic expression to the most unpleasant side of existence in close juxtaposition to life's gentler aspect. Wallace warns the reader that if this notion is taken at face value, the door is opened to "a re-evaluation of musical aesthetics on literary terms" (p. 30). What he fails to mention is that this is precisely what occurred in the criticisms of writers, such as Wolfgang Robert Griepenkerl, who develop a hermeneutical approach to music criticism in a highly specific manner.[3] What does emerge from Wallace's comparison of Hoffmann and Wendt is a clearer appreciation of the difference in approach between, on the one hand, a mode of criticism grounded in the "subjective experience of the listener" (Hoffmann) and that rooted in the dramatic unity of the composer (Wendt). What unites these seemingly opposing views is the merging of objective and subjective vocabularies. Wallace calls the inability of the Leipzig *AmZ* to retain writers of the ability of Kanne, Rochlitz, Hoffmann, and Wendt the "tragedy" of this journal in the years that followed.

Wallace next turns his attention to the writings of the Berlin *AmZ* and its gifted editor, Adolph Bernhard Marx, best known today as a theorist and as one of the earliest biographers of Beethoven. Wallace's examination of Marx's aesthetic and its relation to that of Hegel is one of the most clearly drawn chapters in the book.

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[2] See Peter Schnaus, *E. T. A. Hoffmann als Beethoven-Rezensent der Allgemeinen Musikalischen Zeitung* (Munich and Salzburg: Katzbichler, 1977).

[3] Wolfgang Robert Griepenkerl, *Das Musikfest; oder, Die Beethovener* (Leipzig: Wigand, 1838). See also David B. Levy, "Wolfgang Robert Griepenkerl and Beethoven's Ninth Symphony," in *Essays on Music for Charles Warren Fox*, ed. Jerald C. Graue (Rochester: Eastman School of Music Press, 1979), 103–13.

Marx's ideas of "progress" inform his peculiarly evolutionary view of music history, and in particular his view of Beethoven's progression from the mastery of the expressive capabilities of instrumental music leading next to vocal music as an expression of humanity. It is not surprising, then, to learn that Marx viewed Beethoven's Ninth Symphony as the composer's ultimate achievement. This assertion, in fact, remained far from axiomatic among Marx's contemporaries. The means by which Marx arrived at his conclusion, despite the echoes one hears later in Wagner, are highly idiosyncratic. Unfortunately Wallace takes no notice of an interesting article published by Marx in the Leipzig *AmZ* (of all places) that compared the Ninth Symphony with Mendelssohn's *Lobgesang*, reinterpreting Beethoven's choral symphony in light of Mendelssohn's "Symphony-Cantata."[4]

A large portion of Wallace's third chapter is devoted to the controversies that surrounded Beethoven's "late" music, and the Ninth Symphony in particular. He turns here to other German sources, including *Caecilia* (published in Mainz by Schott, the publisher of many of these later works of Beethoven) and the Vienna *AmZ*, edited by Kanne. Here Wallace takes into account for the first time reviews of Beethoven's music deriving from performances in addition to those essays that attempt to explain or analyze this difficult repertory based on published sources. Kanne's review in the Vienna *AmZ* is an example of the former, while Wallace uses a long essay by Franz Joseph Fröhlich published in *Caecilia* as an illustration of the latter. In attempting to clarify the aesthetic issues raised by the Ninth Symphony for these and other writers through highly useful citations of specific passages from their reviews, Wallace warns the reader to beware the wrong-headed notions fostered by *Schimpflexica* such as Slonimsky's popular *Lexicon of Musical Invective* that would have us believe that Beethoven's music received only negative notices in the musical press. Using the case of Carl Maria von Weber as a specific example, Wallace reminds the reader that some of the sources for these diatribes are not to be trusted.

The chapter that deals with Beethoven criticism in France is a judiciously conceived essay that correctly focusses on the personality of individual critics instead of seeking an elusive "French" interpretation of Beethoven. The task is made easier because the identities of the critics in France are known, in contrast to the large number of unsigned reviews in German (and English) sources.[5] The voices of Fétis, Berlioz, François Stoepel, and Chrétien Urhan dominate these pages. Wallace succeeds in pointing out that the aesthetic issues raised in the French press differed little from those found in the German sources, and I find myself in agreement with the author's statement that "it was the personality of the critic, rather than his philosophical stance or nationality, that determined which music he preferred and why . . ." (p. 123). Again Wallace points the reader's attention to the various ways in which nineteenth-century critics sought to use both analysis and interpretation as mutually supportive tools for arriving at an understanding of Beethoven's music.

In the fifth chapter, Wallace seeks to clarify the various aesthetic issues raised throughout his book by means of a detailed investigation of three reviews of Beethoven's Fifth Symphony, by Hoffmann, Marx, and Berlioz respectively. The stated goal of the chapter is to illustrate what modern musicians might learn from reading nineteenth-century criticism, and Wallace's criteria for selecting these particular documents make good sense since each one was written at unusual length and with considerable richness of detail. Using recent articles by Ian Bent and Leo Treitler as a background,[6] Wallace proceeds to take us through Beethoven's Fifth Symphony movement by movement while juggling the comments of his three critics. While his method yields certain valuable insights, it succeeds only in part. The greatest weakness here is the omission of complete texts of any of these reviews, either in the original language or in translation. It may be argued that many readers have relatively easy access to the complete documents, but without their inclusion in the book, we are at the mercy of Wallace's own selection of relevant passages, chosen, one suspects, with certain goals in mind. If the issues raised by the nineteenth-century writers are worthy of our consideration today (and I agree with Wallace that they are), then he ought to have presented these examples of criticism in their entirety.

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[4] A. B. Marx, "Über die Form der Symphonie-Cantate, auf Anlass von Beethoven's neunter Symphonie," [Leipzig] *Allgemeine musikalische Zeitung* 21:489–98 and 28:505–11 (both July 1847).

[5] Unfortunately Wallace takes no notice of the interesting and informative reviews of Beethoven's music found in nineteenth-century British journals such as *The Harmonicon*.

What finally emerges from the rather dense forest of prose in this book is the age-old question of *how* one is to write about music in a useful way. In a sense, Wallace is in step with Treitler and Kerman in warning of the limitation of modern analytical technique, especially when it is used as an end in itself. If a synthesis, or rather a coordination, of analysis and interpretation is a goal for the future of "contemplating" music, then perhaps we can learn much from those voices of the past century who struggled to come to terms with Beethoven, a composer whom they without exception reckoned to be the most powerful musical mind of their age. *Beethoven's Critics* merits the attention of any scholar or performer who wishes to place the composer's works in their appropriate aesthetic context. This is to say that it should reach a very large audience indeed. Readers may expect to find it a thoughtful and provocative book, marred only occasionally by errors of detail.[7] In light of recent interest in early nineteenth-century performance practices, it is unfortunate that Wallace does not take these issues into consideration since contemporaneous performances of Beethoven's works played a large role in the formulation of opinions on his music.[8] It would seem that the practitioners of the historical performance movement and scholars of *Rezeptionsgeschichte* might have much to learn from one another.

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[6] Ian D. Bent, "Analysis," *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie, 20 vols. (London: Macmillan, 1980), 1:342. Leo Treitler, "To Worship That Celestial Sound: Motives for Analysis," *Journal of Musicology* 1 (1982):153-70.

[7] In his bibliography, for example, Wallace incorrectly retitles my own dissertation a "Comparative Study" instead of "Documentary Study".

[8] Recording projects of Beethoven's symphonies on period instruments are currently under way by The Academy of Ancient Music, The Hanover Band, and others. Especially successful is the recent recording of the Ninth Symphony conducted by Roger Norrington, with The London Classical Players and the Schütz Choir of London, EMI, CDC 7492212, 1987, for its attention to Beethoven's metronome markings.

*The Berg-Schoenberg Correspondence: Selected Letters*, edited by Juliane Brand, Christopher Hailey, and Donald Harris. New York: W. W. Norton, 1987. xviii + 497 pp. Reviewed by Claudio Spies.

A protracted correspondence between composers occurs but rarely. In the history of the art, such exchanges are more apt to be occasional, sporadic and, at any rate, discontinuous. The closest precedent for a long-term correspondence may well have been set by Liszt and Wagner, though it is limited, according to the published collections, to the twenty years up to 1861, whereas both men lived and worked for over twenty more years. It does not, therefore, embrace the period of their greatest maturity and, for at least one of them, 'enshrinement'; nor can it yield a comprehensive view of their thinking about their work, of their musical and other preferences or dislikes, or of their estimate of one another and of each other's work. An opportunity to gain precisely so inclusive an overview of the relation of one composer's work to another's is yet to be offered, uniquely, in the eventual publication—still, I fear, decades hence—of the complete three-way correspondence between Schoenberg, Berg, and Webern. Once these extraordinarily long-lasting exchanges of letters are made generally available, their unparalleled copiousness will also, regrettably, signify the end of a facet of our civilization, for the generations of composers subsequent to these three are not likely to leave much by way of extended correspondence, of this or any other kind, in their legacies. Not only has the telephone, or the unwillingness (and inability) to write, insured the rapidly growing disappearance of letter-writing from the roster of a cultivated individual's activities, but a composer's letters are nowadays of necessity addressed, to the tune of some ninety-five percent of the time, 'To Whom It May Concern.'

Those very high aims of serious scholarship, completeness—insofar as that is possible—and lavishness of presentation that were so brilliantly met in the seven-volume *Mozart: Briefe und Aufzeichnungen*[1], issued in conjunction with the *Neue Mozart-Ausgabe*, might well be imagined as a model to be kept in view for the prospective three-way correspondence, and, with a will and a way, be brought into similar kinship to the complete editions of Schoenberg (in progress), Berg (in expectation), and Webern (as yet unannounced, but bound, somehow, and at some time, to come into being). It can only be hoped that so crucial a published documentation by these three composers—aside from their various additional, but individually less extensive *Briefwechsel* of a familial or professional sort—may see the light of day before the ungulfing tides of complacent, complicitous ignorance wipe both their names and their "elitist" achievements off the face of our culture's map.

Currently, the published volumes of letters by Schoenberg, Berg, and Webern may indeed briefly be enumerated. Excluding biographies and articles in journals that have brought some occasionally 'new' letters to light, there is, for Schoenberg's considerable legacy of letters, one volume[2] containing 247, most of them with indicated but unexplained omissions, some including 'discreet' emendations that remain unidentified and were intended, thirty years back, to safeguard individual privacy.

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[1] Kassel: Bärenreiter, 1962–75.

[2] *Briefe, ausgewählt und herausgegeben von Erwin Stein* (Mainz: Schott's Söhne, 1958).

The English translation[3] features eighteen additional letters. Yet neither 247 nor 265 represent anything more than one-twentieth—or likely, even less—of the totality of Arnold Schoenberg's extant letters! Representing Berg, there is one volume[4] of 569 letters (1907-1935) to his wife; it is neither complete nor untouched by that lady's editorial, if also unhighlighted, efforts. The English translation[5] selects 488 of these, and incorporates some helpful translator's annotations. As for Webern, he is, to date, unrepresented by any extensive volume of letters.[6] To this sorry state of affairs there may now be added the book under review; it features 341 selected letters, in varying states of completeness, out of a corroborated total of 762 extant letters, cards, and telegrams exchanged between Schoenberg and Berg—in other words, much less than half, if one takes the numerous abridgements into account. It must, however, in fairness to the editors and translators, be explained that the original project for this correspondence's publication was substantially different: in the first place, it *was* to be complete—not "selected," nor replete with omitted passages; moreover, it was first to be published in German, and subsequently to appear in an English translation (either in complete or "selected" form). For whatever reason, the German publication project foundered. (A similar plan for the German publication of the Berg-Webern correspondence has remained in limbo ever since the early 60s.) The American publishers balked at the notion of their issuing a *complete* Berg-Schoenberg correspondence in translation, on the grounds of questionable salability. This reasoning then led them to compel the editors and translators to prune, abbreviate, cut, shred, and omit, even though, as they write,

> From the myriad of unequal parts that make up the Berg-Schoenberg correspondence there emerges a richly textured whole that cannot easily be summarized or abridged.[7]

(For the sake of accuracy, the qualifying second adverb might have been left out of the sentence!) Again:

> While our manuscript annotations are frequently quite lengthy and detailed it proved necessary to abridge them for publication. [. . .] Further, we have reluctantly omitted information identifying correspondence to or from third parties.[8]

Still, some fundamental questions are raised as to what could have impelled these publishers to induce the editors and translators to compromise out of existence the inherent seriousness of an undertaking that should *only* have been contemplated as a scholarly venture, and that might thereby—and thereby alone—have yielded invaluable results. For what kind of readership had the publishers envisioned and intended a volume of these composers' correspondence, if not for musicians and scholars, composers and performers? Had they imagined that the exchanges between Berg and Schoenberg would be of particular interest to 'cultural historians,' sociologists, consumers of popular fiction, anthropologists, aestheticians, or devotees of *belles lettres*? Or had they figured, with high sales aforethought, that *selected letters* might deceptively connote disclosures of a sort guaranteed to titillate the naive and rope in the prurient? . . . By definition, then, a published correspondence of this kind should, from the start, have been recognizably geared toward accepted and implied high standards of scholarly care, attention to detail, extensive annotation and cross reference, comprehensive indexing, and—sad to have to say—scrupulous accuracy in translation. If none of these requisite ingredients is to be discerned to any sufficient degree in the published volume, then the blame for massive errors in judgment must be placed squarely upon the publishers and their editorial staff. Only total indifference, dogged inefficiency, and abject stupidity could account for such all-encompassing thoughtlessness—to say nothing of its imaginable detrimental effect on 'marketability'—as may be inferred from the volume's following inventory of basic lacks: (a) a complete listing of extant letters, cards, and telegrams, numbered in chronological order, against which the present volume's contents might have been checked: furthermore, an index of included letters, and a numbering of all items included, in keeping with the complete listing mentioned above; (b) sources for included items—save for a few of which locations are given in footnotes, beginning (inexplicably) with p. 321, as well as a few others that are identified as being at the Pierrepont (sic!) Morgan Library; (c) dependable, factually accurate references in footnotes; (d) musical materials pertaining to, but omitted from, specific letters; legible, instead of frequently unreadable and badly printed, musical examples; ungarbled illustrations.

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[3] *Letters*, ed. Erwin Stein, trans. Eithne Wilkins and Ernst Kaiser (London: Faber and Faber, 1964).

[4] *Alban Berg, Briefe an seine Frau* (Munich and Vienna: Langen Müller, 1965).

[5] *Alban Berg, Letters to his Wife*, edited, translated, and annotated by Bernard Grun (London: Faber and Faber, 1971).

[6] There is the slim volume Anton Webern, *Briefe an Hildegard Jone und Josef Humplik*, ed. Josef Polnauer (Vienna: Universal Edition, 1959); in English as *Letters to Hildegard Jone and Josef Humplik*, ed. Josef Polnauer (Bryn Mawr, Penna.: Theodore Presser, 1967).

[7] Translators' Preface, xx.

[8] Ibid., xxiv.

Starting with some instances from the latter category, there is a very important table that is missing from Berg's famous open letter of 9 February 1925, concerning the *Kammerkonzert*; it is even referred to, on p. 335: ". . . (see table)"! Moreover, although some musical illustrations are reproduced from the composers' manuscripts, they are often very poorly printed (as on p. 197, for instance, and on pp. 252, 349–351), or are reduced in size to virtual illegibility (see pp. 220, 226, 295). On p. 350, in mid-page, Berg's cited twelve-element simultaneity belongs at the bottom of the next page. As a result of this dislodgement, the drift of the argument on p. 350 is almost impossible to follow; it is unclear whether the four-staff example at the end of that page should have been placed where the two-staff simultaneity had been *mis*placed, or whether in the reigning confusion a *further* example by Berg was simply left out. Besides, to cap that *one* page's manifold disasters, the text appears to suggest that 4 + 4 makes B, rather than the more expected quantity. (*Some* of us, at least, can still read—and count!) By a splendid stroke of irony, in Berg's letter of 11 May 1927, indicating a couple of engraving errors in the score of Schoenberg's Suite, Op. 29, the place where he had pointed out a missing treble clef in the piano's right hand remains blank, the clef likewise missing on p. 361.

Inaccuracies and misstatements of fact are painfully abundant throughout the editorial annotations, footnotes, etc.; these testify, above all, to inordinate carelessness in checking and proofreading. Could the *three* named editors, in addition to the publisher's editorial staff, not have done a little better? The question becomes even more rhetorical in light of the special thanks expressed on p. xxvi to two additional, "careful" readers. A selection, with their needed corrections, listed by page-order, follows:

> p. x: ". . . the completion of *Lulu*, which proved to be a surprisingly uncomplicated task, once Berg's *particell* became available upon her [i.e., Helene Berg's] death in 1976." Not so: Friedrich Cerha took twelve years to complete this task (1962–74), with further revisions undertaken in 1976–77.[9]
>
> p. 148: fn. 4: The instrumentation indicated in Schoenberg's letter of 24 January 1913 refers to an enlargement of the ensemble (using multiple strings), to be used in regular concert halls, rather than in smaller halls for chamber music. The "full orchestral version," Op. 9B, of the First Chamber Symphony dates from 1935 and is scored for a very differently constituted wind section and full strings.
>
> p. 204: fn. 6: There is only one version of *Seraphita*, Op. 22, No. 1.
>
> p. 225: fn. 2: The songs mentioned are Op. 22, Nos. 2 and 3, not 1.
>
> p. 264: Berg completed his *Kammerkonzert* in 1925, as is evident from his letter to Schoenberg of 9 February of that year.
>
> p. 291: fn. 21: The arrangement of Reger's Romantic Suite, Op. 125 is by Schoenberg; the score is unmistakably in his hand.
>
> p. 335: The scoring of the *Kammerkonzert* includes a single trumpet.
>
> p. 361: fn. 2: The city visited by Berg was called Leningrad by 1927.
>
> p. 363: fn. 4: The third movement of Schoenberg's Suite, Op. 29 is a set of variations on a tune in E major; the twelve-tone set, whose first element is, at the cited transposition level, E♭, and not B, contains no "implicit tonal elements," certainly not any more (or less) so than any other twelve-tone set; the tune's notes are merely partitioned out of successively unfolding aggregates, in many different ways, throughout the movement.
>
> p. 369: fn. 1: Schoenberg's *Herzgewächse*, Op. 20 is scored for soprano, harp, harmonium, and celesta. The other listed instruments pertain to other works on the cited program.
>
> p. 379: fn. 5: Webern made his own arrangement of an orchestral doubling of choral parts for Schoenberg's *Friede auf Erden*, Op. 13; he probably used it on the occasion described.
>
> p. 412: fn. 3: Schoenberg's Six Pieces for Men's Chorus, Op. 35 are unaccompanied.
>
> p. 426: fn. 8: Webern's Op. 22 is his Saxophone Quartet; Rudolf Kolisch was among its performers at the specified concert, not the Kolisch Quartet.

[9] See Cerha, *Arbeitsbericht zur Herstellung des 3. Aktes der Oper Lulu von Alban Berg* (Vienna: Universal Edition, 1979), 1

> p. 429: In Schoenberg's letter of 19 January 1932, the inquiry regarding *Der Wein* concerns m. 142, not "rehearsal number" 142; the German word is *Ziffer* ( = number).
>
> p. 461: fn. 4: The composer Norbert von Hannenheim was not "Austrian"; he came from Transylvania.

I come now to the nub of various problems besetting this volume. Under the heading "Translation and Editorial Practice," on p. xxiii, the following sentence appears:

> No edition of letters can impart the nuances of the original document.

Indeed, no truer statement may be found in the whole book, even if from the subsequent qualifying remarks it is clear that the reference is more to "nuances" of appearance than to those of actual meaning, of language, idiosyncratic expression, implication, of subtlety in reference, of ambiguity, ellipsis, or of whatever other devices may have been used by the letter writers, and to their retention, or to their loss, in translation. Now, the task of translating from the highly personal and particular, often colloquial, often clearly regional, distinctly time-bound German of Schoenberg's letters, and of the no less markedly characterized German of Berg's letters, into a reasonable English equivalent that conveys colloquialisms without assuming regionalisms of its own, or without lapsing into 'quaintness' in an effort to depict bygone usage, is extraordinarily difficult—if not, indeed, impossible. I have myself known the frustration and the nagging, constant certainty that a given sentence could be improved upon, after even the three hundredth try, in attempting to translate German into tolerably parallel English. And while decrying some efforts at translation as unnecessary, fatuous, and pointless,—as, for example, the lunatic 'Englishing' of operatic texts for the sake of the audience's *understanding* what is being sung, when in fact such 'Englished' words are apt to be understood even less than those in the given opera's original language—I do not think the translation *from* and *into* prose to be unfeasible, and I therefore hold no brief, essentially, against the translation of the letters at hand, so long as the resultant language's usage does not misrepresent the original documents or their writers.

The reference in the foregoing proviso applies not so much to inaccuracy, mistranslation, or idiomatic infelicity, as to the very use of language itself, by means of which the writers' clear-cut personalities and unmistakable character-traits are projected—and nowhere more evidently so than in personal letters. When those letters are written by two such outstandingly verbal-minded individuals as Arnold Schoenberg and Alban Berg—who surely gave enough proof of their capacity to think as cogently, inventively, pointedly, eloquently, and elegantly in their published writings as they did in their music—the translator's job of conveying each separate writer's character, through each separate sentence, becomes his prime responsibility. In this respect, the present volume fails most singularly, for that responsibility appears—through either unawareness or inability—to have eluded the translators. It is even likely to have come about unwittingly that in turning Schoenberg's and Berg's German into (their particular brand of written) English, the translators also transferred each circumstance of the writers' lives, habits, preferences, complaints, etc., etc. from *their* chronological, geographic, and social contexts to those governing the current conditions of the translators' lives and habits in contemporary America. Naturally, in effecting so radical a transfer of contexts—which is precisely my reason in assuming it to have been unwitting—the translators seem not to have taken into account the pronounced differences, in every imaginable respect, between the lives and habits, conventions of behavior, etc., of the writers during the almost thirty years of their correspondence, and *our* (or the translators') lives, habits, conventions of good manners, etc., in the 1980s. It is in view of this deficiency of perception in placing things in their proper perspective and context—as can clearly be gathered from each of the original German letters—that the translators were driven to draw such drastically mistaken conclusions as to the personal characters of both writers. The translators' English certainly supports *their* impression of Schoenberg as a dour, tyrannical, almost entirely humorless man who seemed rather to enjoy every aspect of his disappointments and misfortunes, while Berg, again, in *their* English, emerges as a spineless toady, given to interminable gossip and obeisant flattery. I submit that the original exchanges, insofar as I have had occasion to examine them, show such appraisals of either man's character to be entirely wrong-headed, off the mark, and grossly unfair! The German saying "*Der Ton macht die Musik*" is perfectly apposite here; it is, indeed, the *tone* of these letters that is not conveyed to any satisfactory degree whatsoever in this translation. The translators have simply not come to terms with the fact that in the Austria (and Germany) of *that* time, a master remained a master throughout a pupil's lifetime, regardless of the achieved intimacy, between both, of friendship and trust. The kind of behavior of (erstwhile) pupil to master, as exhibited by Berg—and certainly no less so by Webern, or any of Schoenberg's other students—toward Schoenberg is unimaginable in the context of *our* lives, and of *our* America. There is no German equivalent for American informality, nor for our pointed avoidance of showing anyone that kind of 'respect' and deference, at least not in any overtly external or superficial, ritualistic sense. *We just don't behave that way!* (Yet they *did* . . .) We do not readily agree to a 'difference in station' between student and teacher, such as is absolutely fundamental—and lifelong—in an Austrian or German context. The very existence of a world of difference between *Sie* and *Du* and the virtually ceremonial applicability of either—as well as the shift from one to the other—highlights a basic distinction in the use of language between German and English; such a distinction *cannot* exist in English, so that the difference in forms of address can only be described or explained, yet not *translated*.

Perhaps some of this difficulty could have been overcome by means of further editorial elucidation. As it is, the remarks on pp. xiii-xiv may be interpreted, in this context, as being, to some extent, explanatory. Yet they do not refer to the matter of language at all, and they only abet a suggested notion of Berg's comparative deviousness and of Schoenberg's tyranny over his followers. Only grudgingly do these introductory comments appear to concede that Schoenberg's insights, as regards his (by then erstwhile) pupil Berg, were extraordinarily acute, when in fact the 'tyranny' they bespoke was easily the most pedagogically benevolent and musically beneficial of our century. The Translators' Preface dwells much more on a determination to eschew hagiographic attitudinizing than on the specifics concerning the production of English sentences that reflect the nuances and subtleties of their German parallels. On p. xxi, for instance, after a solemn-sounding, if also ambiguous, proclamation, reading:

> Today we have entered a period of demythologizing and revisionism.

a clause in the next sentence states:

> . . . one cannot trace the origins of Schoenberg's "system" without studying analogous contemporary experiments.

This prompts at least three questions: first, what is "Schoenberg's 'system' "?; next, what "analogous" experiments were conducted, and—other than those by Berg, Webern, and other Schoenberg students from the early 20s—by whom? (As for the third, about who are whose friends *anyway*, it may remain unasked . . .) Such statements give off a certain noisome aura of uninformed propaganda; they clearly reflect a bias, and seem, in that portion of the book, inopportune.

A marked distaste for what will now follow leads me to inquire whether it should really have to be the business of a review to point out solecisms or other abuses of English, when it ought to be a publisher's obligation to eliminate embarrassments of this nature from his product. Usage, here shown in quotation marks, such as "dramaturg" (for dramatist, p. 72); "verbal insults" (as if a non-verbal alternative existed, p. 184); "variance" (for variant, or variation, p. 226); "pressuring" (for pressing, p. 244); "constructing" (for building up, p. 254); "sonoral" (for sonic, p. 335); "finalizing" (for finishing, or concluding, pp. 287, 405—twice—and 414, where it takes the even more horrid form of "finalization"); "presently" (for currently, or now, pp. 5, 38, 53, 62, 93, 98, 101, 274, 280, 360, 449) is—or should be—intolerable in a book purportedly dealing with the language of Schoenberg's and Berg's letters. That language, varied and vivid as it was, never employed journalistic vulgarisms, except to point them out sarcastically in others' usage. Likewise, inappropriately used idioms misrepresent their original intent, and thereby misguide the reader's perception of nuance. I cite, again within quotation marks, followed by the original, and a reasonable English equivalent: "have it good" (*haben es gut* = do well for themselves, p. 17); "straight out" (*klar, direkt* = clearly, straight, pp. 25, 233, 248); "unanimous success" (*einstimmiger Erfolg* = uncontested, complete success, pp. 84, 99); "better said" (*besser gesagt* = or rather, in other words, pp. 222, 442); "I don't know what all" (*ich weiss nicht was alles* = I don't know what, p. 256); "until now (*bis jetzt* = so far, p. 284). Then there are outright mistranslations, as for instance: "5 and 20 Kronen" (where the disparity between prices suggests, rather, that there was a single one for twenty-five Kronen, p. 52, under the illustration); "autography" (*Autografie* = from the manuscript, —the quoted term connoting a relatively recent, less expensive alternative to engraving—p. 162); the cited "*Untergang des Franzosentums*" does not mean "Decline of the French", but The Decline of Frenchness, p. 219; "large flute" (*grosse Flöte*) requires no adjective, inasmuch as *kleine Flöte* = piccolo, p. 335; "study score" refers to piano score, or piano reduction (*Studier-Auszüge*), p. 388. The inadequate rendering of an idiom, or ungrammatical, awkward English construction is notable in the following: "long enough for there to be a point to my visit," p. 252; misplacements of the word "only," pp. 296, 297, 315; "as is for the present," p. 296; "similarity with," p. 407; and on the same page, "similarity with myself" (!); "than the Good Lord in France," a literal version of the idiom *als der Herrgott in Frankreich*, means nothing in English—the closest allusive equivalent might be 'than Croesus,' p. 454. The expression should have been left untranslated, with its meaning explained, as is the case—much to the translators' credit—wherever German expressions or short passages are quoted in the original (viz., pp. 36, 121, 168, 200, 456).

Impelled by my longstanding interest in Schoenberg's and Berg's letters in general, and rather frustrated by the curtailed representation of their correspondence in the present volume, I have found myself checking, first, on letters that might be 'duplicated' in the Stein collection (see fn. 2)—of the eight to be found there, six are included here, in unabridged form; so is the aforementioned open letter on Berg's *Kammerkonzert*[10]—and then comparing a few 'suspicious places' in several others to their originals, located in the Library of Congress, and at the *Nationalbibliothek* in Vienna. My research was rewarded, regrettably, by the corroboration of every one of my hunches; they had served to support my opinion of the inordinately poor translation and careless presentation that pervade this book. A comparison of Berg's open letter (pp. 334–337) to its German parallel shows that there is hardly a paragraph whose content has not, in one way or another, been botched. What, for instance, is one to make of the phrase "and must be adhered to during performance," at the end of the description of the first movement (on p. 335), when there is no trace of such a phrase in the original? Furthermore, the last paragraph on p. 336—whose italics at the end are mine—:

> This [trinity] is apparent also in the *harmonic* aspect, where next to long stretches of completely suspended tonality there are also individual shorter passages of tonal character *that correspond to the regulations established by yourself in the "Composition with 12 notes."*

is obviously utter nonsense, to say nothing of the impropriety in "by yourself." The translators were incapable of discerning in Berg's punctuation, and ellipsis, that he was referring to *three* different kinds of harmonic practice, not two! As for the heading at the end of the quoted passage, that does not refer to any written article by Schoenberg, but to his oral description of *Komposition mit zwölf nur aufeinander bezogenen Tönen* ( = Composition with twelve tones related only to one another). I propose, however, to cut short this recital of blunders, and mention only two especially funny ones: on p. 18, in a letter dated "Friday morning," during 1911, Berg refers disparagingly to Vienna as a *Balkan Nest*, an expression which is translated "Balkan nest". Now, whereas *Nest* certainly equals nest, the translators remained impervious to the familiar colloquial use, where *Nest* simply means dump, backwater, hole in the wall, and therefore failed to make any sense of the expression. Again, in his letter of 9 August 1921, Berg complains of having to devote too much time to every *"kurzer" Gast*, meaning everyone who paid him a brief visit; the translators' boner turns this into " 'short' guest," as though it were meant to refer to the visitors' stature.

Finally, in reviewing this review, I am obliged to observe that the *contents* of the correspondence included in the book have neither been commented upon, nor even briefly alluded to. The reason for this apparent evasiveness is that one cannot really discuss such contents unless one has *all* of that correspondence under consideration. A *selection* of letters—hand in hand with their frequent abridgement—makes for a corresponding selection of contents, inevitably. While I do not believe that any of the unincluded contents have been purposely concealed (or are in any need of ever so being), I am convinced, nevertheless, that the mere lengths on which particular subjects or circumstances, or events, or discussions might have dwelt remain hidden from the present collection, and therefore whatever emphases might have been implicit in such lengths must remain open to speculation. At the same time, of course, the volume's contents are, unceasingly, of the liveliest interest. Just as in the case of other composers' letters, Berg's and Schoenberg's cannot be considered 'central' to our concern with their activity and their lives. Their music, however, *is*, absolutely, at the core of the involvement we may perceive toward their art and their lives; the letters, therefore, are perforce somewhat peripheral. Yet the supplement they provide to that central context is always informative, often enlightening, invariably engaging to a high degree, for as wide a variety of reasons as is the range of subject matter they cover. It is striking to see, for example, that the protagonists were so frequently unwell, and that their wives were also often in search of appropriate 'cures'. At the same time, from our perspective in 1988, it is appalling to observe how poorly they all took care of their health. And quite another angle of these exchanges is their frequently manifested, sometimes uproarious sense of humor.

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[10] Willi Reich, *Alban Berg: Leben und Werk* (Zürich: Atlantis, 1963), 135–40.

A correspondence between two men of such powerful intellect, of such consummate articulateness and sensitivity, whose forthrightness matched their tact and thoughtfulness toward one another, cannot but reveal a great many fascinating details of their daily existences, of their work, their thinking, of their concerns and their struggles. One is constantly drawn—without even noticing it—into the orbit of their thought and into their spheres of activity. It is almost as if these letters had been addressed to the reader—the more so, naturally, when the reader's own concerns are often related to those of the writers, even though the reader's particular circumstances are bound to be so much more fortunate than those governing these writers' lives! Had I to choose a single term to apply to such letters as these, it would have to be the adjective 'vital,' for these writings testify, above all, to an uncommon vitality, resilience, determination, uncompromising dedication, unshakable personal loyalty, and deep affection. The letters here selected, —relatively few as they are—, document, as does any of the music composed by their authors, a liveliness of mind, a conscientiousness of expression, and a vividness of imagination whose products ought easily to outlive any treacherous tides of fashion or of success-mongering politics, to the benefit and enrichment of the lives of generations of musicians to come—perhaps even without their knowing it.

*Duke Ellington*, by James Lincoln Collier. New York: Oxford University Press, 1987. viii + 340 pp. Reviewed by Paul S. Machlin.

The conjunction of an author who has significant (if not universally accepted) credentials as a jazz writer with a subject as magisterial and important as Duke Ellington, a publisher as prestigious as Oxford University Press, and the Institute for the Study of American Music (acknowledged by the author to have supported his research through a fellowship), presages a book that might well constitute an important contribution to jazz scholarship. Unfortunately, *Duke Ellington* fails to realize such potential, principally because it serves not to illuminate the life and music of an American composer and musician who occupies a crucial and pivotal position in the history of American music, but rather to further its author's limited and idiosyncratic interpretation of Ellington's character and his contributions to music.

As a work of music history and scholarship, the book is seriously flawed. It lacks some of the most basic scholarly apparatus one would expect to find in a major biography of a jazz musician: there is neither a bibliography nor a discography. While one could argue that a proper Ellington discography constitutes a book-length project in and of itself, I would also hope that a book whose fly leaf trumpets it as "the definitive critical biography of both the man and his music" would provide more than a simple discographical note. And without the bibliography, we have no comprehensive list of sources cited in footnotes, and no way of knowing whether additional sources were consulted, and if so, which ones. As it stands, Collier makes no reference to discographies by Walter Bruyninckx and Brian Rust, or to commentaries by Gunther Schuller (in *Early Jazz*), and Larry Gushee (in liner notes for the Smithsonian's *Duke Ellington 1940* album), all items one would have thought likely to be consulted in the course of a study of Ellington. In addition, Collier sometimes promotes unattributed assertions as données (as on pp. 102, 127, 166), and he can fail to cite sources adequately (there are no page numbers for the quotes from Ellington's memoirs on p. 49, from *The Chicago Defender* on p. 59, from *Variety* on p. 77, and from *Orchestra World* on pp. 125–26). At times he simply omits the source entirely, as in the case of the remarks attributed to Al Rose on p. 144. The real problem in all this rather slipshod scholarship is Collier's apparent willingness to accept second-hand comments and unsubstantiated allegations—even hearsay—as gospel, and it is this information he uses to fortify his sustained and rather brutal attack on Ellington's character. At one point, for example, he blithely reports what "somebody told Derek Jewell" (p. 272), never identifying the "somebody"—although he does have the modesty to suggest that while there is "undoubtedly some truth in this [statement by the unidentified somebody] . . . how much is difficult to say."

Another significant problem for the historian concerns Collier's occasional tendency to discuss events and issues in Ellington's life and career with little regard for the chronological sequence in which they occurred. In chapter 5, "Duke Takes Over," in which Collier traces the evolution of Ellington's band in terms of the addition of new personnel, the 1925–27 period is covered in a particularly confusing manner (pp. 58–61). Chronology seems similarly mishandled in chapter 13, where on p. 169 Collier refers to the 1934 loss of Jenkins and Whetsol, yet five pages later, on p. 174, he describes the band as "now clearly Ellington's, as Toby Hardwick discovered on his return in 1932" (i.e., before the band's trip to England, which itself is chronicled some 20 pages earlier). In other ways, too, the book's organization lacks clarity: the effects of Rex Stewart's half-valve technique are described in detail on p. 171, and the accidental way in which he discovered the technique on p. 188, yet Stewart is barely mentioned in the intervening 16 pages. Collier casually refers to or quotes Edmund Anderson half a dozen times in the first 200 pages of the book; then suddenly, on p. 217, he states "Ellington had by this time made friends with a twenty-two-year-old stockbroker named Edmund Anderson . . ." as if mentioning Anderson for the first time. On p. 66, Lew Leslie is "an important producer of Broadway shows"; on p. 78, he is reintroduced as "a respected Broadway producer."

Light has already been shed on other problematic aspects of Collier's study, including his pretensions to literary criticism, by other critics, notably Dan Morgenstern (in the *New York Times*, 22 November 1987) and Whitney Balliett (in *The New Yorker*, 28 December 1987). What has not been sufficiently addressed, in my opinion, are the flaws in Collier's approach to Ellington's music. For it is in Collier's analyses of specific performances that we encounter both the deepest disappointments of the book and the most serious indictment of Collier's credentials as a musician and scholar. The problems that arise concern Collier's methodology, sources, prose, and plain analytical errors—all problems that exist in other aspects of the book as well. The most basic difficulty, of course, is the complete lack of any musical examples in the book. Without transcriptions by Collier himself, we have no way of evaluating the information on which he has based his assertions regarding the music. By making our own transcriptions, of course, we could check the validity of his conclusions, but this still would not enable us to verify the quality of the information he himself used—that is, we could not tell if the errors in his conclusions were based on faulty reasoning from accurate data or from data (i.e., transcriptions) that were flawed to begin with. (It is possible that the lack of music examples is the result of an editorial decision, based perhaps on the expense of using music type, although one would not like to think Oxford University Press so—I am afraid there is no other word for it—cheap. Still, the single item of music notation in the book—a metronome indication on page 187—uses a lower-case letter d as a substitute for, I presume, a half note, at best an amateurish solution to the dilemma, which suggests, to my mind, an editorial prohibition against music type in the text.) Collier does refer to a few analytical studies and transcriptions of Ellington's music, but oddly, these are by students; he cites a 1978 Mills College M.A. thesis (p. 120), an unpublished paper by "a music student who has made a careful study of the piece ["Ko-Ko"] and has provided me with a transcription of it . . ." (p. 226), an undated M.A. thesis by a student at San Francisco State University (p. 279), and another unpublished paper by "a music student who has studied the work [*The Second Sacred Concert*]" (p. 294). By normal scholarly standards, such authors could hardly be considered established authorities to whose work one would turn for corroboration of significant analytical points. This is not in any way to denigrate the value of these students' work, but rather to suggest that because their expertise is not proven, reliance on their critiques by an author writing a major biography is inappropriate: Collier should either do his own analytical homework (and publish the results) or cite critics whose bonae fides are unimpeachable.

When Collier himself writes about particular pieces, he falters on several fronts. His difficulties surface almost as soon as he begins evaluating specific performances; I will enumerate here three errors from his descriptions of the early Ellington recordings that typify Collier's weaknesses as a writer about music. The first, perhaps one of his most telling mistakes, is his assertion that "East St. Louis Toodle-Oo" includes "three themes, in B-flat minor, A-flat, and E-flat" (p. 111). In fact, the A phrases of the AABA choruses are in C minor, not B♭ minor; to fail to recognize the obvious tonic minor-relative major relationship between C minor and E-flat major suggests either that Collier hasn't listened to the piece very carefully or that he is insufficiently skilled in ear training to recognize basic harmonic relationships. (Unfortunately, the identification of B♭ minor cannot be a typographical error, since Collier repeats it in the next sentence.) Either way, such a basic error signals the necessity on the reader's part both for constant vigilance regarding Collier's analytical abilities and for significant skepticism regarding his conclusions.

A second instance of Collier's failure to identify harmonic schemes accurately occurs in his analysis of the underlying harmonic plan of a phrase in "Black Beauty," although because he does not specify which recording and take he is discussing, we cannot be certain of the extent of his error: "Ellington recorded 'Black Beauty' twice as band numbers, but it is best known in a solo piano version he made later. (There has been some confusion over the opening trumpet solo on the Brunswick version. . . .) The piece consists of two strains . . ." (p. 118). "Black Beauty" was recorded on March 21, 1928 for Brunswick, again on March 26, 1928 for Victor, and on October 1, 1928 in a piano solo version for OKeh. I suspect it is the piano solo version Collier discusses, since on page 119 he notes that the piano solo "Swampy River" (unidentified by recording date and matrix number) was recorded "to back 'Black Beauty.' " But since he prefaces his description of the harmonic scheme with a generic reference to "the piece," as in the phrase quoted above, making a special claim for the opening harmonic scheme of the A phrase (e.g., "harmonies which were quite sophisticated for the time, and still are not easy to analyze"), I take it that he finds one consistent scheme for all recordings. But his analysis of that scheme is flawed; in the Brunswick recording, at least, the harmonies are not B♭/Faug/Fmin/$G^7$, as he suggests, but B♭/Faug/B♭$^9$/$G^7$. Collier's confusion about the identity of the third chord in this pattern may stem from a failure to hear the bass line return to the pitch B♭ from the preceding F; thus he incorrectly locates the pitches A♭ and C as part of an F-minor triad instead of the flat 7th and 9th degrees of a B♭ chord. Incidentally, the return to B♭ in the bass is unequivocally clear in the AABA chorus for piano solo, a detail that renders Collier's reading of the passage even more puzzling.

Another kind of analytical problem concerns Collier's faulty descriptions of structure; this problem is illustrated by his observations on "Birmingham Breakdown." He suggests the piece is "built, once again, on contrasting themes in C minor and A-flat major" (p. 113), and then focuses his commentary on the structure of the A♭ major twenty-bar chorus. Assuming Collier is referring to the Vocalion recording of November 29, 1926, both his general assertion about the piece's structure and his review of the twenty-bar chorus are flawed. First, a C-minor harmony appears only briefly, at the beginning of each eight-bar phrase of the opening sixteen-bar chorus—a chorus that itself appears only once more, following two statements of the twenty-bar chorus. In each of these eight-bar phrases, the harmony quickly turns away from C minor towards B♭, a chord that serves as the dominant for E♭ major. This theme, then, could hardly be said to be "in" C minor. Much more significant in my view, both in terms of the key scheme for "Birmingham Breakdown" and for its structure, are the two sixteen-bar choruses in D♭ major, and the two twelve-bar blues choruses in D♭ that conclude the piece, neither of which Collier even mentions. The twenty-bar A♭-major choruses in this context function as a kind of dominant preparation for the D♭-major material; Collier, incorrectly identifying the "extra four bars [as] essentially a tag" (p. 113), misses the turn to D♭ in the fourth four-bar segment that prefigures the key of the later sixteen- and twelve-bar choruses. In addition, Collier fails to discern the overall structure of the piece correctly: the two sixteen-bar choruses in D♭ major have a fundamentally different key scheme than the twenty-bar choruses, and thus constitute a third structural element (what I suppose Collier means by "theme") of the piece, and the two twelve-bar blues choruses constitute a fourth element. The piece, therefore, is not built on "contrasting themes in C minor and A-flat major" at all, but on four distinct chorus patterns that appear in the following order:

A (8 + 8, C minor to E♭ major)
B (4 + 4 + 4 + 4 + 4, A♭ major)
B
A
C (8 + 8, D♭ major to A♭ major)
B
C
D (12-bar blues in D♭ major)
D

(Collier suggests that "when Toby Hardwick plays his solo, he limits it to sixteen bars without the tag . . ." [p. 113]; it's impossible to know what he is referring to here, since the sixteen-bar choruses are fundamentally different in key scheme from the twenty-bar choruses, and since the only places Hardwick might be soloing on the Vocalion take are the first phrase of the first C chorus and the first twelve-bar blues chorus.)

Although these errors in analysis may seem small individually, each casts significant doubt on the author's ability to hear pitch relationships, harmonic patterns, and structure correctly. And because they are representative of other problems in analysis in the book, collectively they call Collier's conclusions into question.

Collier also fails to establish an accurate chronology for the various recordings of "East St. Louis Toodle-Oo," and in general he cites specific dates for recordings all too infrequently; indeed, as I have already implied, he never identifies a recording by its matrix, take, or label numbers, often making it difficult to know which recording he is discussing. It is only by hunting back through the text, for example, that we can establish that the "Toodle-Oo" version Collier discusses on p. 111 was recorded for Vocalion (label number 1064, matrix E-4110) on November 29, 1926. Then, at the conclusion of his commentary on the piece, Collier refers vaguely to a "second version of the number, made for Columbia about a month later" (p. 112).

In fact, this is a *fourth* take, made on March 22, 1927, *four* months after the Vocalion take. In between these two recordings came a rejected take from a February 28, 1927 session, and a Brunswick take recorded March 14, 1927. Because such discographical details could easily have been verified, these inaccuracies alert the reader to the possibility that similar slips occur elsewhere in the book.

The language Collier employs in his discussions of specific pieces can be inappropriate, even bizarre (timbres are referred to as "reds . . . juxtaposed against blacks, greens against brown" [p. 230], a melody "has a curious feel of Renaissance music to it" [p. 297], a style is described as "exploring a tropical rain forest thick with patches of purple orchids and heavy bunches of breadfruit" [p. 273]), and occasionally lacks precision (what is a "good riff" [p. 265], and why is it good? what do passages sound like that "tend to ramble" and are "rather diffuse" [p. 219]? what makes the descending line Collier describes on p. 288 "interesting", and what does it have in common with the "very interesting melody" referred to on the next page?). Perhaps most frustrating is Collier's repeated use of the same linguistic formula to frame his analyses. "Ring Dem Bells" uses "a very simple melodic idea" (p. 136); "Rockin' in Rhythm" "is all very simple" (p. 140); "Mood Indigo" "could hardly be simpler" (p. 144); "In 'Caravan,' Ellington makes a great deal of a rather simple melody" (p. 186); "the plan for ['Crescendo and Diminuendo in Blue'] is simple enough" (p. 187); "the structure of ['Harlem Airshaft'] could hardly be more basic" (p. 231); the third movement of *The Deep South Suite* "could hardly be simpler" (p. 281), and so on. Ultimately this barrage, which seems calculated to obscure the subtleties of Ellington's music and to undercut its significance as great jazz, serves only to reveal the paucity of Collier's critical apparatus.

Indeed, Collier uses other rhetorical formulas repeatedly to similar effect; the phrases "as we shall see" (or its equivalent) and "as we have seen" crop up frequently, freeing the author of the need to support his conclusions with specific data at those junctures. The problem with these particular phrases, of course, is that the reader is required either to retain in his or her mind a basic assertion, taking it on faith until such time as the author sees fit to reveal the supporting data, or to recall the data described earlier in the text that support the just-mentioned conclusion. Often, too, Collier will claim that a sequence of events is "difficult to determine," "impossible to know," or "a matter of dispute," without making much of an effort to establish which alternative might be the most valid. At one point, he cavalierly asserts "On the basis of not much, I am inclined to believe . . ." (p. 149). At other times, Collier's language can be significantly more distressing from other perspectives. In his discussion of the role Billy Strayhorn played in Ellington's career, for example, Collier writes that "Ellington always evinced a tendency—weakness, if you will—toward lushness, prettiness, at the expense of the masculine leanness and strength of his best work, the most 'jazzlike' pieces" (p. 272–73). The opposition of "masculine leanness" and "his best work" on the one hand to "weakness," "lushness," and "prettiness" on the other reveals the sexism that in this instance underlies Collier's critical stance. Equally disturbing, when he describes the relationship between black musicians and their managers, who were often Jewish, he subtly hints at exploitation: "For Jews, black show business was an open opportunity; blacks needed white managers, and anybody willing to fill that need might do very well for himself. As it turned out, some of them did exceedingly well for themselves" (p. 65). When he then labels these managers "Jewish business sharps" (p. 65), however, he comes, in my view, dangerously close to an ethnic slur.

If in this review I have focused on linguistic and musical details, it is because Collier's mishandling of them in his evaluations of the recordings does substantial disservice to Ellington the musician. But, as I have also suggested, the book is flawed in other respects as well. Collier's choice to interpret commentary from others about Ellington's habits and personality in a consistently negative light has led him, as I see it, to a deliberately iconoclastic stance. In his revisionist itch to magnify Ellington's shortcomings and belittle his achievements as composer and bandleader, Collier seems to have lost the ability, so crucial in the exercise of biography, to maintain a balanced perspective on his subject. This failing is by itself sufficiently disabling. As Oscar Wilde observed in his review of Joseph Knight's study of Dante, biographies of this sort "rob life of much of its dignity and its wonder, add to death itself a new terror, and make one wish that all art were anonymous." (Quoted in "Insincerity and Authenticity," Denis Donoghue, *The New Republic*, February 15, 1988, p. 25.) Yet there is an even greater misfortune here—the lost opportunity to write the study of the man and his music that the blurb writers at Oxford would have us believe *Duke Ellington* is. Ironically enough, once upon a time Collier himself might even have been the author to undertake such a project. For earlier in his career, Collier came closer to the mark; in *The Making of Jazz* (1978), he writes:

> Despite the contributions made by the musicians, the Ellington band was essentially the creation of the master himself. None of his players ever had significant careers apart from him; it was he who found out what they could do and then made them do it, and his ability to do this was crucial to his accomplishment. In sum, Ellington's genius lay not in a single insight, but in a mastery of many facets of music. Selecting a few records from analysis from the hundreds Ellington made is a fruitless exercise; as Dryden said of Chaucer, ". . . here is God's plenty" (p. 255).

# *Who's Who in Symposium*

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Musical examples, tables, charts, diagrams, figures, and graphs should appear on separate sheets and be clearly captioned. Contributors should be prepared to supply camera-ready copy of any of these items except musical examples.

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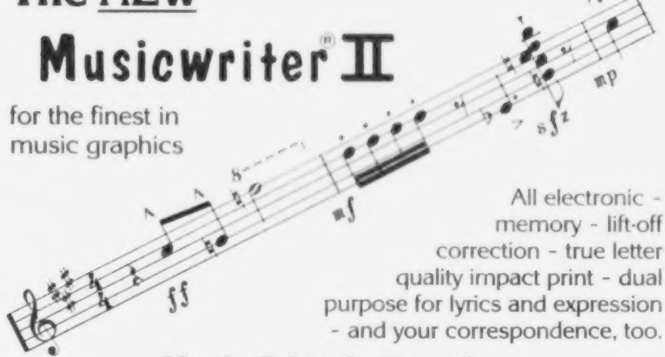

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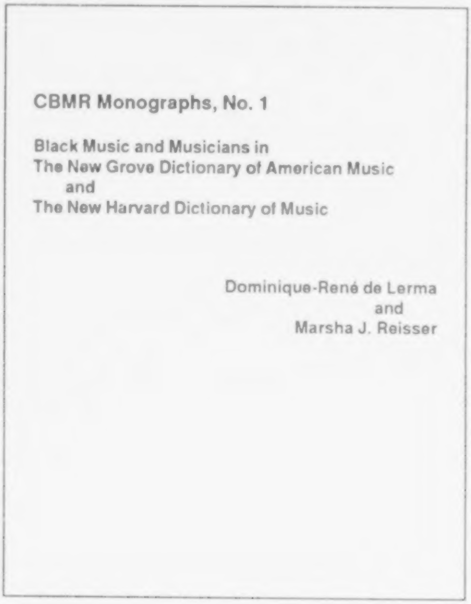

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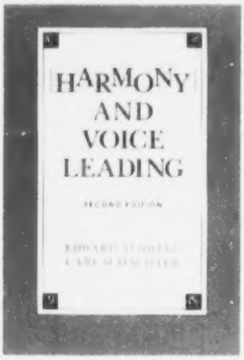

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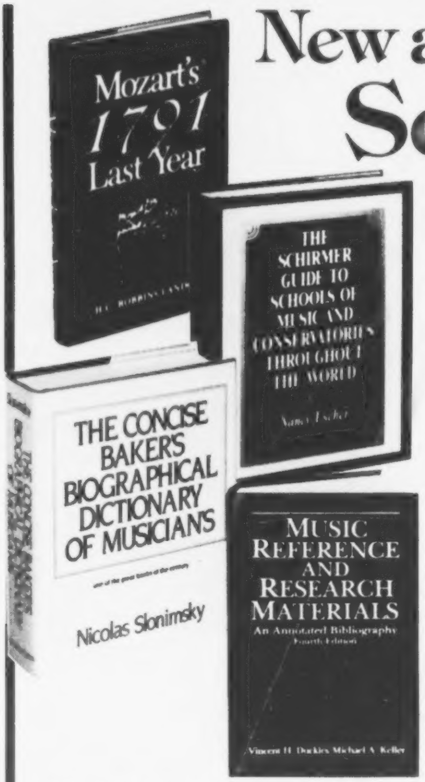

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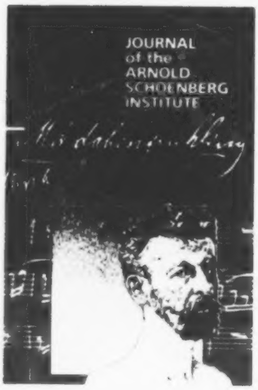

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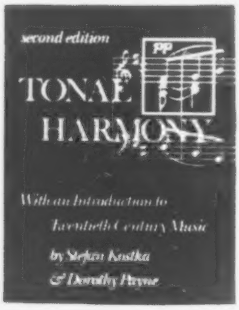
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